PRINCIPALS' REFLECTIVITY DURING CHANGE IMPLEMENTATION

By

SHEILA BLANTON BRIDGES

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Sheila Blanton Bridges

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Chairman: Forrest W. Parkay
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The purpose of this study was to examine principal

intervention behaviors and related thought processes that

occurred during implementation of school-based management/

shared decision making. This study was conducted to

describe and analyze the complexity of considerations and

strategies used by principals with different change

facilitator styles: "responders," "managers," and

"initiators." Using the definition of reflectivity as

mental consideration characterized by a visionary planning

perspective and oriented toward judgment of overall impact,

the researcher sought to determine the extent of

reflectivity among three principals who exemplified these

facilitator types.

This study was a multiple-site case study in three

urban schools involved in the critical phase of

implementing school-based management/shared decision
making. The principals' intervention behaviors were coded
and later analyzed both quantitatively and qualitatively to
show strategies and linkage to goals.

The findings revealed that the responder principal
sanctioned the change process and attempted to resolve
conflict when it arose. The responder pattern revealed
that this principal considered options in a linear manner.
There was no linkage to other goals apparent in her
behaviors or considerations. The manager principal
anticipated instructional and management needs of the
school, planned for them, and intervened to achieve short-
range goals. His cognitive pattern revealed minimum
reflectivity and concern for short-range goals. The
initiator principal took the lead in identifying future
goals and priorities for the school and intervened to move
his school closer to his vision. His cognitive
considerations were highly complex and interactive.

The report includes a discussion of how these findings
relate to the body of knowledge in the areas of leadership,
cognition, reflectivity, and change. The implications of
the investigation and recommendations for researchers and
practitioners are also included.

CHAPTER I
INTRODUCTION

The traditional image of the principal has been the
school head who provided the management needed for the
institution to run smoothly. Within the last 20 years,
however, the role of the principal has evolved to that of
educational leader. As pressure has increased for schools
to perform effectively, the principal's leadership role has
come under increased scrutiny (Sergiovanni, 1987).

Recent research findings have consistently indicated a
strong relationship between the efforts of the school
leader and the nature of educational change in schools
(Leithwood & Montgomery, 1982). Effective schools research
findings have pointed to the critical role the principal
plays in influencing school effectiveness. The
competencies and skills needed to become a leader in
educational change are different from traditional
management skills of the past (Leithwood & Montgomery,
1982).

Assessment of the status of knowledge of principals in
more effective schools has revealed that these leaders
exhibit certain behaviors which set them apart from the

leaders in less effective schools (Edmonds, 1979). These
studies, however, have centered around observable actions
of principals as they intervened to influence a complex set
of factors. These findings support the theory that change
is a complex process and that the degree of successful
implementation is largely due to the actions of the school
leader (Hall, Rutherford, & Griffin, 1982).

Schools, as a setting for principals' leadership, are
changing in many ways. For instance, the current
empowerment of teachers as leaders necessitates a
redefinition of the role of principals. An example of the
movement to empower teachers is the school-based
management/shared decision making model (Cistone,
Fernandez, & Tornillo, 1989). These configurations also
require that principals function in nontraditional ways.
Having a single set of skills does not assure effective
leadership.

Although many factors impact the principal's role
definition, the leader has a style which has been linked in
the research to the level of successful implementation of
change. Hall, Rutherford, and Griffin (1982), for example,
identified and defined three leadership styles:
"initiator," "manager," and "responder." Initiators hold
clear, decisive, long-range goals for their schools and
keep stakeholders and programs moving toward those goals.
They are creative leaders who hold high expectations for

all and move the school toward those expectations through constant intervention. Managers are efficient in administering their schools and protecting their teachers. They seldom delegate, but when they do, they closely monitor what the designee is doing rather than work with him or leave him alone. Responders emphasize the personal side of interactions and tend to delay decisions in order to have as much information as possible. They view their primary task as maintaining a smooth-running school and often sacrifice long-range goals for immediate ones.

In several studies the initiator has been identified as the most effective change facilitator style. Fourteen years of research have supported the link between this change facilitator style and successful implementation of educational innovations as they relate to educational administration (Hall & Hord, 1987). In these studies, however, researchers emphasized principals' behaviors and not what they were thinking about in terms of their leadership.

Need for the Study

Having principals think in a particular way about how they intervene to bring about change is a new dimension in educational leadership. An emerging concept in teacher education has been to educate practitioners to think a certain way about their practice. This practice has been labeled reflection (Ross, 1987). Designers of teacher

education programs have experimented with different strategies for teaching reflectivity to their students and different ways of measuring outcomes, but the study of reflectivity among principals has not been part of the movement.

In previous studies researchers have shown that the degree of successful implementation of change is largely due to the actions of the school leader. The data base which supports these findings consists of observable behaviors. Few, if any, investigators have probed beyond principals' behaviors to explore what issues or thoughts the principals considered or the processes they used as they intervened to bring about change.

There is a need for understanding the principals' interventions in more depth than the cursory surface analysis which previous research studies have provided. What principals consider and how they use information as they intervene to bring about change remains obscure. How the thought patterns of principals are related to their actions and to a greater perspective is not known.

Purpose of the Study

The purpose of this study was to examine principals' intervention behaviors and related thought processes during implementation of school-based management/shared decision making. Principals with three different change facilitator styles were selected, and information was collected about

(a) the thoughts that preceded interventions, (b) critical innovation-related principals' interventions, (c) how the interventions were linked to a vision the leader had for the school, and (d) post-intervention considerations.

Significance of the Study

Part of the knowledge base about leadership is knowing how principals of effective schools behave. Leithwood and Montgomery (1982) reviewed research on effective principals and found that how principals intervene separates the more effective leaders from the less effective ones. They concluded that

> Effective principals are able to define priorities focused on the central mission of the school and gain support for these priorities from all stakeholders. Their actions impinge on almost all aspects of the classroom and school that are likely to influence achievement of these priorities. They intervene directly and constantly to ensure that priorities are achieved. (p. 335)

While this review was helpful in identifying several dimensions of effective principal behavior, it offered no insight into the thoughts that preceded and guided the behaviors. An understanding of the mental considerations of principals would enhance the knowledge base in the area of educational leadership. The content and nature of the thought processes involved in principals' deliberations and the extent to which those considerations and the resulting interventions were linked to a broader vision the principal had for the school could be examined and related to the

change facilitator style of the leader. These data would be of significance in the selection and training of educational leaders and would provide guidance in helping principals to become more effective in producing change.

Research Approach and Design Rationale

The nature of this topic requires an interpretive, qualitative analysis where patterns which evolve from field investigation lend insight into the connections between thought processes and over behaviors. The theory of strategic linkage was developed by Hall and Vandenberghe (1988) to explain the direct linkages effective principals appear to have made between their analyses of their day-to-day interventions and their thoughts about long-term goals and visions. Even so, the absence of a data base to support the theory prevents the testing of experimental hypotheses at this time. The current need is for careful data collection and related development of analysis procedures that provide initial verification of key points in the theory. Using research findings about the change process, leadership styles, and effective change implementation, the researcher examined thought patterns of three different principals to discover similarities and differences and attempted to develop a data-based understanding of the nature of these patterns.

The topic and the direction of this research required an interpretive methodology. Kaplan (1964) stated that a

heuristic, exploratory approach can serve to "generate ideas, to provide leads for further inquiry or to open up new lines of investigation" (p. 149). According to Guba (1981), field study is essential to the naturalistic approach to research, for truth is discovered in the experiences of the field. For an exploratory investigation which focuses on contemporary events within their real life setting, the case study is recommended (Yin, Bateman, & Moore, 1983). Mishler (1979) supported the idea of allowing the problem to select the methodology. "Traditional methods tempt researchers to restrict the focus of their interest to short-run events and a limited range of meanings, and thus methods tend to determine the problem investigated rather than the other way around" (p. 7). Based on the nature of the problem of this investigation, the case study was selected as the means for collecting data.

The case study is a particularized inquiry into a setting, a subject, or an event (Bogdan & Bilkin, 1982, p. 58). Stake (1978) listed the following characteristics of the case study: (a) descriptions are holistic and complex and contain numerous variables which are not readily isolated; (b) data are gathered using personal observation at least in part; (c) an informal writing style is used, possibly a narrative with verbatim quotations and metaphors; (d) implicit rather than explicit comparisons

are used; (e) understanding the case has greater emphasis than themes and hypotheses; (f) expansionist rather than reductionist pursuits characterize the methodology; and (g) the inquiry emphasizes the idiosyncratic more than the pervasive (p. 7).

The approach selected for this investigation was a descriptive multi-site case study using qualitative procedures of data collection and analysis, with quantification of behavioral observations to enhance the understanding of the descriptive data. To ensure consistency of interpretation, special considerations had to be given to the research procedures adopted. These are discussed in Chapter III.

<u>Study Questions</u>

The absence of <u>a priori</u> hypotheses mandated that the research questions which were to guide this investigation be based in research. The review of the literature combined with current theories and practices formed the foundation from which this investigation grew. In this study, the reflection of principals as they engaged in the task of implementing change aimed at school improvement was investigated. The following research questions were addressed:

1. Are principals' interventions linked to broader goals that they have for the school?

2. How do intervention behaviors differ among these three principals with different change facilitator styles?

3. What are the characteristic elements and patterns of reflectivity in these three principals who employ different change facilitator styles?

4. Does one particular principal, who exemplified a given change facilitator style, show more complex reflectivity?

Methodology

Three elementary principals were nominated by the assistant superintendent who was designated as the project leader. Each principal represented a different change facilitator style. Each subject was shadowed and interviewed, and his interventions related to school-based management/shared decision making were documented. Critical interventions were selected, and the principals were asked to recall, through in-depth interviews, what they were thinking about as the incident unfolded. Both the interventions and reflections were coded and mapped and then compared. The change facilitator style of each was then overlayed to discover relationships.

A variety of data sources were used to answer the study questions: on-site observations, taped interviews, field notes, and telephone calls. The tape recorded interviews resulted from stimulated recall sessions at the

end of each data collection period. The analysis of these tapes is explained in Chapter III.

The Setting

The interpretive nature of this study required special understanding of the context within which the investigation occurred. Implicit in the interpretive research paradigm is the belief that the phenomena and the interactions are influenced by the context within which they occur. An integral component of qualitative studies is a description of the context which houses the investigation (Van Maanen, 1979). Following is a brief description of the setting within which this study occurred. A more detailed description is presented in Chapter III.

The district chosen for the investigation was a large urban area in the southeastern United States. The district boundary was contiguous with the county in which it is contained. More than 255,000 students attended the 279 schools in this predominantly minority area. Of these, 43% were hispanic, 33% were black, 23% were non-hispanic white, and 1% were other. The system is experiencing a growth of 10,000 to 15,000 students per year. Many characteristics of large urban areas applied to the district, a system which embraced both urban and suburban communities. The problems of crime, drugs, teen pregnancy, single-parent homes, latchkey children, at-risk youth, homelessness, overcrowding, and financial woes besat the area. As in

most urban areas where these concerns prevail, society turned to the schools to solve the issues.

The school system initiated a school-based management effort in 1975, but the board rejected full implementation. It was not until the early 1980s, with the renewed interest in effective schools and school improvement, that the board reconsidered. In 1985-86 the board formed a committee to create a shared decision-making concept for the district. Any school could apply to become a pilot school, but proposals from only 32 schools were selected for the pilot. From those, three schools representative of elementary schools in any large urban area were chosen for this study.

The three sites for data collection in this investigation were typical urban schools. The students in attendance at the three sites were not remarkable in comparison to other urban school students. The principals were typical in that they dealt with problems most urban or large suburban school administrators face.

Because the environment at each of the sites varied, this report contains a description of each, as well as a description of the innovation. An understanding of the development of the shared decision-making model and its current structure in the district provides a framework for the interpretation of the study data. A discussion of the innovation of school-based management/share decision making is contained in Chapter III.

Definition of Terms

Several definitions were formulated to provide clarity for this study.

Change facilitator style refers to the distinctive manner of behaving which combines motivations and intervention behaviors during change implementation (Hall & Hord, 1987, p. 220).

Incident interventions are those interventions, or behaviors, which are moment-by-moment and day-by-day actions.

Interventions were coded on an instrument called the Intervention Coding Form, an analytical instrument used for analyzing the interrelationships between interventions and for analyzing the internal parts of each intervention.

The incidents were grouped to form tactics, or collections of incidents such as workshops, meetings, etc. (Hall & Hord, 1986).

Strategies, or major action groups designed to accomplish particular change process objectives, reflect the philosophy or assumptions of the change facilitator.

Grouping of incidents into strategies revealed a pattern, or configuration, based on grouping and categorizing.

These patterns emerged during interviews where stimulated recall, or a process designed to assist individuals in mental imaging an event from their

experience which has already occurred and of which they were a part, was used (Kagan, 1972).

Data revealed the extent of <u>strategic linkage</u>, or a system of linking day-to-day interventions to long-term goals and visions.

<u>Strategic sense</u> refers to the dynamic imaging and proactive planning which characterizes more effective principals.

Other terms used are found within the area of reflective practice.

<u>Informed intuition</u> is enlightened, instinctive knowledge (Schon, 1987).

<u>Reflectivity</u> is mental consideration which is characterized by a visionary planning perspective and is oriented toward judgment of overall impact (Hall, 1987). Although some definitions of reflectivity include the characteristics of content and attitudes (Ross, 1988), this study primarily focused on the process.

<u>Reflection-in-action</u> refers to thinking back on what one has done in order to discover how one's knowing-in-action may have contributed to an expected or unexpected outcome (Schon, 1987).

The process of reflectivity can lead to <u>reflective practice</u>, or a conceptual process which uses knowledge from science and experience to inform the professional's

intuition as professional knowledge is created in use in response to unique practice problems (Sergiovani, 1987).

The change innovation studied, school-based management/shared decision making, is a model in education which is characterized by site control of all resources by a group of people located at the site.

Assumptions, Delimitations, and Limitations

Assumptions

This study was limited to an investigation of one innovation during the first year of implementation. The assumptions upon which this study was predicated were (a) the participants would be open and honest; (b) the investigator would not bias responses by the wording or ordering of questions; (c) the amount of increase in principal reflection about interventions, if any, as a result of the data collection activity, would be similar for all subjects in the study; (d) principals, with stimulus, could reconstruct the key features of their reflective process; and (e) the selected principals would continue to lead in ways that are characteristic of their identified change facilitator style.

Delimitations

To assist in focusing the investigation, delimitations were developed. They were (a) only one major innovation was investigated, (b) three principals were studied in depth rather than superficially studied in larger numbers,

(c) only the investigator collected data, and (d) the study was planned to construct a framework to explain reflection in relation to intervention behavior and the framework of change facilitator styles.

Limitations

Several limitations were inherent in this investigation. They were (a) the subjects were volunteers, (b) the study was bound in time by the periods from April to June, (c) the study was limited to one urban district, (d) only one principal was selected to represent each style, (e) the personality of each principal could complicate the style, (f) only one phase of the subjects' job responsibilities were considered, (g) the findings are set forth only as they relate to this study, (h) interpretations of the data are those of the writer and may not be fully congruent with those of all of the subjects or another observer, (i) the stimulated recall component of the study was be design somewhat unstructured, (j) the codes for the data-labeling served as flexible guidelines only for data collection purposes, and (k) there remains a lack of generalizability beyond a limited population.

Organization of the Document

Chapter II contains an extensive review of the literature on cognition, reflection, leadership, and change. A section on the use of qualitative methodology completes the chapter.

In Chapter III a detailed description of the research approach and design is provided. Site selection and the data collection processes are included. The chapter concludes with a discussion of the processes of quantitative and qualitative analyses.

In Chapter IV the innovation of school-based management/shared decision making is described as well as a detailed description of each site. A description of the climate at each site is developed.

Chapter V contains the results of the investigation. The coding of each principal's style is detailed. The quantitative findings are presented. The behavioral patterns for each principal are discussed. The chapter concludes with a section about the reflectivity patterns of each principal.

Chapter VI contains conclusions and implications. The research findings are related to previous research. Use of the findings and recommendations for further research end the document.

CHAPTER II
REVIEW OF RELATED LITERATURE

     The following review of literature is somewhat unique

due to the nature of this investigation. The first

sections are relatively independent reviews deemed relevant

to this study. Cognition, reflection, leadership, and

change form the foundation for this investigation. Equally

essential to the understanding of the study is the use of

qualitative research in education. The chapter concludes

with a discussion of this methodology.

Cognition

Cognitive processing involves mental abstracting.

Posner (1973) revisited Piagetian theory to study

cognition. He found that the process of developing mental

thought patterns enables people to classify information

into prototypes. These prototypes permit the sequencing

and organizing of information which allows people to make

judgments. Although exact measurement of these processes

is not possible because of their abstract nature, these

processes do lend themselves to cognitive mapping (Posner,

1973). The ability to cluster thoughts into categories

which can be manipulated to indicate movement is possible

through a process of grouping and sequencing until a pattern emerges.

Historically, analysis of thought processes has involved the study of memory structures used to represent information and mental operations performed upon these structures (Posner, 1973). Human memory is designed for abstracting the general form of events which is used as a frame of reference to act reasonably intelligent in the future.

This flexibility provides for participation "in the changing tapestry of human thinking" (Posner, 1973, p. 137). According to Posner and Keele (1970), people develop prototypes or schema which are basic thought patterns. Even when given distortions, people classify them by "old" patterns because they approximate a prototype currently stored in the mind of the individual. Hedd (1968) suggested that prototypes serve as internal representations of a whole set of individual patterns, and that these patterns are the subjective experience of imagining.

Pattern recognition is an important aspect of human thinking, but more complex judgments may be made when past experience formed structures which enable judgment to be made without conscious processing (Posner, 1973). The richness of past experiences can improve judgment decisions.

Mental operations must involve more than recognition. Information must be reorganized to solve problems, develop new structures, and interpret the world around us (Posner, Fitts, & Posner, 1968). The old structures do not disappear, but in the reorganization process new structures are developed which are then coded into the thought patterns.

Cognitive Mapping

Thought processes are not observable, i.e., directly measurable. However, techniques have been developed in various fields of psychology that allow inferences to be made about the thought patterns. "Cognitive mapping" is a method of structuring information in graphic form (Gold, 1984). A cognitive map shows a diagram of the interconnectedness of ideas. This graphic representation of the text of thought depicts the complexity of information (Nummela & Rosengren, 1988).

Cognitive mapping which involved sequencing and organizing information produced a TOTE theory of problem solving (Newell, Shaw, & Simon, 1958). A TOTE (Test-Operate-Test-Exit) unit forms the basic unit for analysis of processing. The individual compares his present state with a goal, performs an operation which will move him closer to the goal, assesses the success of his efforts, and either performs another operation or stops.

Meyer (1970) suggested that people make two assessments: the first is a global and effortless comparison of the elements' similarities, and the second is a more deliberate, thorough operation. By use of cognitive mapping, researchers have found that the more complex the task, the more likely it will be broken down into serial stages (Posner et al., 1968).

Problem Solving

Problem solving involves systematic use of mental operations according to a plan. The kinds of plans people use are subject to consciousness and memory limitations. People sometimes are limited by memory so they return to the starting point to begin again (Posner, 1973). A solution to a problem is a representation which fits within the limits of the operational memory.

Kolb (1974) developed a four-phase experiential learning cycle which is consistent with the information on cognition. In Kolb's theory, the effective learner needs four different stages: concrete experience, reflective observation, abstract conceptualization, and active experimentation. He must be able to involve himself without bias in new experiences, he must be able to observe and reflect on these experiences from many perspectives, he must be able to create concepts which integrate his observations into theories which appear logical and make

sense, and he must be able to utilize these theories for decision making and problem solving.

The dilemmas facing the learner are varied. Acting and reflecting, and being concrete and theoretical at the same time are polar opposites. Kolb theorized that the learner selects which set of learning abilities he will utilize in any given situation. Thus two dimensions of learning exist. For the first, there is a continuum with concrete experiencing of events at one end and abstract conceptualization at the other. For the second dimension, active experimentation is at one end of the continuum and reflective observation is at the other. When a learner solves a problem or makes a decision, he moves in varying degrees from actor to observer, and from specific involvement to general analytic detachment. The amount of cognitive development and learning is directly dependent on these selection factors.

Summary

Analysis of thought processes is possible through the study of patterns which serve to organize new information. These patterns assist individuals in making judgments. Cognitive mapping is a process which can reveal thought patterns. A model for thinking developed by Kolb shows four stages of problem solving. How a learner moves through these and selects information determines cognitive growth and learning. This may be of particular interest

when analyzing problem-solving processes. These processes were examined in this inquiry to discover clusters and sequences of the thoughts of each of the three principals as they intervened to bring about educational change.

Reflection

Although the term reflection is not new, its current redefinition is. Reflection is a broad term which has recently generated interest in the field of teacher education. Its use as a topic for research and for use in teacher education has gained momentum. Teacher educators use reflection in their programs, but educational leaders have only recently drawn on this concept.

Reflection is found in the works of early humanists who incorporated it into their philosophies. These humanists included Sartre, Camus, Maslow, and Rogers. Their belief was that the choices made and the values clarified are rarely based on impersonal, scientific evidence. The solution is to assist the person in realizing himself as an individual and helping him actualize his potential as an individual (Parsons, 1983). In making decisions, individuals find room for initiative and responsible choice, and develop the sense of self which is necessary for a productive, actualizing life. The notion of self-concept is essential to reflection in the humanistic view.

Another perspective which includes reflection is existentialism. Living is an affair of risks and uncertainties, and individuals must choose without knowing what course is absolutely right or absolutely wrong, or which alternative is "better" (Greene, 1967). By the choices the individual makes, he chooses his own destiny. The actor strives to "become" in a world of uncertainty. Reflective inquiry focuses on the individual and the personal choices he makes using personal values. The existentialist encourages the growth of free, creative individuality (Parsons, 1983). The role of reflection in a broader context is clear in the following description by Stein (1969): "The human position is the paradoxical one of being simultaneously in the world and beyond it in the modalities of being absorbed in a situation and reflective, bound and free, with others and alone" (p. 747). Existentialists view knowledge not as prescriptions or absolute universals, but meaningful only when the individual consciously reflects upon, clarifies, and personally values it (Parsons, 1983).

The term reflection was used by Dewey (Archambault, 1964) to define an attitude consisting of open-mindedness, whole-heartedness, and responsibility, which combines with logical processes to form a unity. Dewey targeted reflection as a neglected dimension in schools: "To attempt to develop the reasoning powers, the powers of

judgment, without reference to the selection and arrangement of means in action, is the fundamental fallacy in our present methods of dealing with [reason]" (Archambault, 1964, p. 435).

Dewey believed that mental consideration must be scientific in nature and used to inform practice. The stream of thought becomes the sequencing of ideas and a chaining occurs so that each determines the other. This consideration aims at a common end which serves to link ideas. If the consideration involves viewing knowledge or a belief, and if a linking justification process which results in a judgment occurs, then the process is referred to as <u>reflective thinking</u>. To Dewey, reflection is an inquiry into worth which commences with a state of doubt or ambiguity to be resolved, and leads to a searching and inquiring to find materials or evidence which will solve the problem. Dewey (1933) stated, "The nature of the problem fixes the end of thought, and the end controls the process of thinking" (p. 17).

Dewey identified another characteristic of reflective thought, that of intelligent action. Intelligent action becomes possible only after purposefully considering the alternatives of action before the mind makes it possible. Since the process leads to meaning, then only when that meaning informs action can man know what he is about. Consequently, desired outcomes can be achieved by

consciously attending to key dimensions of the situation
(Dewey, 1933).

Even though an idea or object may be previously
unencountered, what is present hints at previous
experiences, and subsequent experiences either verify or
negate such meaning. The limitlessness of this type of
thinking produces an equally infinite growth potential for
meaning in life. With this freedom of thought, however,
comes the capability of fallacious thinking. To avoid this
pitfall, a merging of skill in reflective thinking and a
positive attitude which powers employment must be
cultivated (Dewey, 1933).

Others have built on Dewey's work. Ross (1988)
defined reflection as "a way of thinking about educational
matters that involves the ability to make rational choices
and to assume responsibility for those choices" (p. 26).
Her model of mature reflection involves characteristics in
three component areas: processes, attitudes, and content.
Ross (1987) helped to clarify the dimension of reflection
in a teacher education program. She described mature
reflection as having three components: processes,
attitudes, and content. The processes call for using
informed intuition to make reasoned choices. The necessary
attitudes include open-mindedness, introspection,
responsibility, and wholeheartedness. The content includes
pedagogical knowledge, awareness of constraints, knowledge

of strategies to increase self-knowledge, knowledge of subject matter, and a broad range of educational environments, practices, and philosophical orientations. Parkay (1982, p. 63) affirmed that the professional's personal dispositions indicate the professional's willingness to undergo a rigorous intellectual method and ultimately determines the quality of the resulting work.

Zeichner and Liston (1987) utilized Dewey's concept of reflectivity to develop a program for student teachers which had as its guiding base orientations toward responsibility and open-mindedness and skills of acute observation and reasoned analysis. Ross (1987) and Zeichner and Liston (1987) agreed that the three levels of reflection identified by Van Manen (1977) were valid.

The first level identified by Van Manen (1977) is technical rationality. The primary concern at this level is applying knowledge to attain an acceptable end. The second level of reflectivity involves assessing actions in relation to consequences. "At this level, every action is seen as linked to particular value commitments, and the actor considers the worth of competing educational ends" (Zeichner & Liston, 1987, p. 24). At the third and highest level of reflectivity, critical reflection, both moral and ethical criteria are apparent in action. The process, outcome, and content are selected through use of value-governed selection.

Biting and Clift (1988) stated that reflection calls for "maintain[ing] a dynamic perspective that incorporates both the demands of the present with the wisdom of the past" (p. 12). Although these definitions were used in describing the goals of teacher education programs, educational leaders are also responsible for making rational choices and assuming responsibility for those choices.

Others have shied away from defining reflection but have developed characteristics of the phenomena. Simmons and Sparks (1988) listed several attributes which served as premises for their teacher education program. They defined the act of teacher reflection as one which (a) "requires being able to move across the typical gap . . . between theory and practice;" (b) involves the "integrated use of teacher pedagogical knowledge, behaviors, attitudes, and beliefs;" (c) involves the cyclical, holistic, and nonlinear use of the teacher's cognitive processes, including problem-setting, factor naming, analysis, synthesis, and evaluation" within a frame of decision making which leads to action and further reflection; (d) implies a "constructivist view of pedagogical knowledge," meaning, and truth for the individual, (e) is a function of both "nature and nurture" in that people are able to reflect to varying degrees but the amount can be enhanced by use of strategies; (f) is influenced by various factors

which include the individual's readiness, his level of
metacognition, professional commitment, and self-efficacy,
and (g) is enhanced by cognitive mapping, oral and written
think-aloud exercises, journals, and structured
interviewing about events observed and enacted (p. 34).

Simmons and Sparks (1988) advocated using these as
premises for further dialogue and research. Other
researchers have expanded the list. Ross (1987) found some
of these as important aspects in a literature review.
Characteristics she found in the educational literature on
reflection were (a) the ability to identify and analyze
problems and situations in terms of significant
educational, social, and ethical issues; (b) the ability to
utilize a rational problem-solving approach in educational
situations, (c) the ability to make intuitive, creative
interpretations and judgments; and (d) the ability to take
action based on a personal decision and to monitor the
effects of that action.

Parsons (1983) described reflection as dynamic,
problem oriented, introspective, personal, dialectic, and
self-actualizing. Vaughan (1988), with a group of
educators, characterized it as having a malleable context
and being proactive, extensive, internally controlled,
visionary, learner-driven, growth-producing, and highly
conceptual (p. 34). Vaughan modified the label of
reflection to reflective practice because the latter

denotes the need to address reasoned vision and meaningful strategies in pursuing improvements. The strategies he described as tactics are carefully coordinated and are designed to achieve important and specific objectives and goals highly valued by participants.

Vaughan (1988) addressed the importance of reflectivity in the context within which it occurs. Having all other processes necessary for reflectivity, but ignoring the context, is similar to having an architectural design for a building without considering the building's contribution to the community needs, expectations, and standards.

These characteristics of reflectivity indicate commonalities. Three aspects are highlighted throughout: the individual's attitude, the process, and the content involved in the process.

A Reflective Model

Kitchener and King (1981), however, developed a model of reflection which does not include the content identified by these teacher educators. In their model, reflective judgment involves a seven-step sequential development. Each stage is a logically-related network of assumptions about reality and knowledge which serves to justify beliefs. The model is built on four assumptions: (a) that a reality exists against which ideas and assumptions must be tested, (b) that the process of inquiry is fallible, (c)

that through the process of rational inquiry knowledge is acquired, and (d) that justification is based on a rational evaluation of evidence and interpretation.

At one end of the model is Stage 1. Here, knowledge is an absolute objective reality. Beliefs simply exist. There is no recognition that opinions may differ, thus justification is unnecessary. The highest stage of development is Stage 7. In this stage there is an objective reality against which ideas and assumptions must be tested. Here, knowledge is the outcome of the process of reasonable inquiry. Beliefs reflect solutions which can be judged according to approximations to reality. Although all stages contain reflection, Stage 7 exemplifies mature reflection.

Hall (1987) agreed that reflectivity is a process. He viewed the process as one in which the practitioner examines his role as an instructional leader, critiques his actions, and assesses his actions in certain ways. To him, the content is important in that it provides material for the process. His label of strategic sense is synonymous with his concept of reflectivity. That definition is the one which guided this investigation.

Strategic Sense

Research conducted by Hall (1987) indicated that different styles of principals think differently. More effective principals seemed to directly link their day-to-

day interventions with long-term goals and vision. Hall labeled this characteristic strategic sense. He proposed that a dynamic on-going self-examination of their facilitating activities sets the more effective principals apart from the less effective ones. The concept he developed is characterized by a complex level of reflectivity.

Hall identified three styles of change facilitators: responders, managers, and initiators. He postulated that responder-style principals are primarily attuned to moment-to-moment events, whereas manager-style principals are absorbed by accomplishing administrative and organizational tasks. On the other hand, initiator-style principals appear to have a clear focus on the long-term vision and goals they have for the school and maintain targeted movement toward those ends.

Hall and Vandenberghe (Hall, 1987) found that initiator style principals continually mention their thinking about recent intervention actions and critique their actions "in terms of how they went, what should have been done, what was accomplished, and what they should do next" (pp. 4-5). This dynamic processing of interventions by the initiator style principals and their reflectivity about their facilitative role in school improvement efforts led to the label of strategic sense.

The term was developed to describe the vision and planning some principals seem to have as a focus. They seem to sense how today's behaviors are directly linked to accomplishment of tomorrow's goals. Some principals appear to view their actions as a series of isolated events, whereas others are reflective about what they are doing and seem to sense an interrelatedness of their actions in an integrated perspective.

Hall and Vandenberghe (1988) viewed strategic sense as a dimension which runs along a bipolar continuum. At one end of the continuum is "day-to-day" focus, while vision and planning is at the other end. They hypothesized that the responder style principal is more closely aligned to the day-to-day end and the initiator style principal more toward the vision and planning end.

The definition of reflectivity used in this investigation is one which involves the process only. The content and principals' attitudes are mentioned to enhance understanding, but the data analyses were conducted using reflectivity as a concept which increases as vision and planning increase.

Reflective Leadership

Analysis of reflection in relation to leaders has not been examined extensively. Although not addressing leadership per se, Schon (1983) has clarified professional reflection, much of which can apply to principals. Schon

considered reflection with technical rationality to be an
incomplete model. Although technical rationality uses
science to achieve ends, it excludes knowledge that is
contingent on the situation. Schon advocated a
spontaneous, intuitive performance of day-to-day behaviors,
or reflection-in-action. This model allows for research in
action or thinking about what the professional practitioner
does as he does it. If intuitive, spontaneous performance
yields no surprises, then little thought is given to the
event. But if the performance yields a surprise, then
thought, or reflection-on-action, results. This may also
be reflection-in-action, or "reflective conversation with
the situation" (p. 31) if the time frame permits. Schon
refers to this as "on-the-spot surfacing, criticizing,
restructuring and testing of intuitive understandings of
experienced phenomenon" (p. 26).

Sergiovanni (1987) cited Schon's reflection-in-action
in his work, The Principalship: A Reflective Practice
Perspective. Instead of describing a set of discrete
leadership skills, Sergiovanni presented a global,
reflective view of the role of the principal. Sergiovanni
labeled implicit mental images through which principal's
view reality as mindscapes. Instead of providing the
reader with the one-best-way to lead, he described four
mindscapes and advocated use of the last one, educational
administration, as a reflective practice profession.

Because this perspective is relatively new, little
attention has been given to this aspect of leadership.
Sergiovanni contended that reflective principals are in
charge of their professional practice and actively engage
in reflection to deal with uncertain, unstable, complex,
and varied situations.

Leithwood and Stager (1987) also drew on Schon's work
in the area of administration. They wrote about the
decision-making processes in which administrators must
engage. Many of the problems administrators must solve
appear to be well-structured problems inside the black box.
But, according to Leithwood and Stager, many of the
situations administrators face are not clearly defined. A
major task then becomes looking at the "messy" situations
and clarifying the problem and the values at stake in
seeking a solution. Even after these issues have been
resolved, there remains uncertainty about the goals to be
accomplished, what solution process is adequate, and what
obstacles are likely to be encountered. In a study of 22
principals, the researchers found that "expert" principals
were distinguished from "non-expert" ones on several
dimensions. The experts were highly flexible and more able
to alter their interpretations of the nature of the
problem, willing and able to take control of their thoughts
and plans, able to see multiple alternatives for
interpreting the same event or outcome, and able to view

obstacles as sub-problems to be solved. The remarkable aspect of their thinking was their thoughtful approach to reflection on a problem during interpretation.

Summary

Reflection, as discussed in this review, has various definitions. Several characteristics were discussed. Also, the humanistic and existentialist beginnings were explored. A discussion of how reflection is currently viewed in the literature and in teacher education programs followed. The definition used in this study, reflectivity as strategic sense, was discussed. Reflection-in-action in terms of leadership was summarized. The review concluded by noting that reflective leadership is a new field which needs exploration. In this inquiry the researcher examined the reflectivity pattern of each of the three principals to discover similarities and differences. The definition for this investigation referred only to the process and not to the concept of integrity of the actors.

Leadership

Effective schools are led by effective leaders. Researchers have investigated the behaviors of these leaders and have found some common characteristics. Major reviews synthesize common findings of these studies.

Much of the research on effective leadership has been conducted within the last 20 years. In six case studies of school effectiveness (Brookover et al., 1979; Brookover &

Lezotte, 1979; California Department of Education, 1980; Rutter et al., 1979; Venezky and Winfield, 1979; Weber, 1971), a common finding was that strong leadership by the principal or another staff member was clearly associated with school and student success.

Weber (in Sweeney, 1982) found that the principal and his leadership style appeared to be the significant factor in school success because of the effect on the tone for the school and assuming responsibility for instruction and allocation of resources to reach school goals. Madden et al. (1976) found that in effective schools teachers reported more support, an atmosphere conducive to learning, and a principal who made decisions and emphasized achievement. Edmonds (1979) found that effective schools have leaders who promote an orderly, quiet, and generally businesslike atmosphere for the school; who frequently monitor pupil progress; who ensure that the staff recognizes and fulfills its responsibility for effective instruction for all pupils; who set clearly stated goals and objects; who develop and communicate a plan for dealing with reading and mathematics achievement problems; and who demonstrate strong leadership with a mix of management and instructional skills.

Expanding an earlier finding of Brookover and Lezotte (1979) who found marked differences in leadership between effective and ineffective schools, Brookover et al. (1979)

studied 159 schools and found that three components influenced the variance in test scores: school inputs, school social structures, and school climate. Effective principals frequently observed classes without prior notice, actively advocated student achievement, supported classroom instruction, and encouraged teacher attendance at workshops aimed at increasing teaching effectiveness.

In another major study, Rutter and others (1979) studied 1,500 junior high school students in London for three years. Their findings showed that achievement is higher when the school, rather than the individual teacher, sets expectations. School cohesion and high academic expectations characterized effective schools.

One of the most significant analyses of recent principal study findings is based on 17 survey studies, 15 case studies, and 2 combined survey and case studies (Leithwood & Montgomery (1982). The role of the principal with regard to leadership, management, and administration was studied. They looked at "typical" and "effective" principals in numerous leadership studies. They found that effective principals have as their major goal the cognitive growth and happiness of students. Shared decision-making, strong community, staff, and school system bonds, instructional intervention, resource support, and cooperative interpersonal relationships also characterize the effective principal. Unlike typical principals, those

who are effective are able to define priorities which focus
on the central mission of the school and garner support
from all stakeholders.

Other reviews supported these findings. Cotton and
Savard (1980) found effective leadership behaviors to
include frequent classroom observation, clear communication
of high expectations of the staff and the instructional
program, decisions about curriculum, coordination of the
instructional program, and active involvement in program
evaluation. Persell and Cookson (1982) added to these the
characteristics of being a forceful and dynamic leader,
creating order and discipline, and using time well.

This section has contained a review of literature on
effective principals to discover common characteristics.
Effective leadership behaviors were listed. Attempts to
synthesize the findings have been successful in producing a
clear picture of the effective leader. These
characteristics were used in identification of the
effective change facilitator in this inquiry.

Change Models

For schools to improve, they must experience change.
How this change is addressed determines the extent to which
the school will improve. Much attention has focused on the
leader who instigates and directs this change: the change
agent. Various change models have evolved, but some deal

directly with school change and the role of the principal
and other change facilitators.

Many of the earliest models were compiled and
categorized by Havelock (1973). One major cluster Havelock
called the Social Interactions Model. In this model change
is viewed as a five-phase adoption process which assumes
that the change is already fully developed and ready for
implementation. The stages are awareness, interest,
evaluation, trial, and adoption. The major responsibility
of the change age, or "innovation champion" (Havelock,
1971, p. 5), is during the initial stages of awareness and
interest. In this model, the change agent is not
emphasized as playing a dominant role in bringing about the
change.

Havelock's second model is the Research, Development,
and Diffusion Model (RD&D). In this model change is viewed
as an orderly, sequential process which evolves through
research, development, packaging, and dissemination stages.
The change recipient is viewed as a passive consumer who
accepts the innovation. Efforts are concentrated at the
diffusion end and little attention is given to helping the
consumer learn how to use the innovation.

The Problem Solver Model was Havelock's third
perspective on change. Unlike the two previous models,
this one involves the "adopter" throughout the process.
Identifying user need, often self-initiated and self-

applied, is the most important role of the change agent. Here the change agent functions as a facilitator instead of an expert.

A fourth change model was developed from change patterns in the business world. Schmuck, Runkel, Arends, and Arends (1977) are key references for this model. This model assumes that the dynamics of the group are the primary source of problems relating to change, and also the major source for solutions. In this model the focus is on the group not on the individuals within the group. Change occurs when subgroups within the organization adopt the change. Assumptions of this model include strong support from top management and principals to assure successful implementation, adequate time for the change to be introduced, and the guidance of trained consultants during the process.

A fifth model for change which Havelock proposed is the Linkage Model. In this model the role of the change agent is to facilitate change by mediating a communication network between the sources of innovations and the users (Paul, 1977). In education, this model is often used in linking organizations and individual users with resource systems which produce new products. Personal interaction through reciprocal feedback provides mutually reinforcing signals. Obviously the knowledge of the change facilitator about the new products and the ability of that facilitator

to persuade and help others to use the product must be extensive. The trust and perception of competence the facilitator establishes early during the collaboration foster the linkage system which serves the needs of the user.

The Rand Change Agent Study (Greenwood, Mann, & McLaughlin, 1975) in the 1970s suggested that change evolves through three stages: (a) initiation, (b) implementation, and (c) incorporation. The implementation stage is characterized by adaptive planning and staff training. Implementation was contingent on organizational climate, motivation of the participants, implementation strategies, and the scope of the change. Where principals actively supported the change, teachers more readily accepted it and the projects were more successful.

Hall and Hord (1984) found that the level of the teacher's concern is an important consideration in the change process in education. Hall and Hord (1984) studied principals as they intervened to bring about change. The actions and events that influenced teachers' use of the innovation formed the basis for the change facilitator's efforts. These interventions, or actions, on the part of principals bring about change. Hall and Hord developed and utilized a taxonomy for analyzing the interrelationships between interventions. They found that clearly day-by-day and moment-by-moment interventions make a difference in the

implementation of change. Change was studied using the smallest unit of interventions, the "incident" intervention. Incidents were grouped together, categorized, and labeled. The analysis and flow of these were considered. From this they developed their change model, the Concerns-Based Adoption Model (CBAM), which has seven stages of concern.

The first stages of the CBAM model are self-focused awareness levels. Here concern about how the innovation will impact the user on a personal level is uppermost. The next stages focuses on accomplishing the task. The last three stages address concerns about impact in using the innovation. Successful implementation of the innovation is contingent upon successfully addressing the concerns of the user at the appropriate level.

Based on past research, key assumptions underlying the CBAM model are that (a) change is a process; (b) the primary focus of the interventions should be the individual; (c) change is a personal experience; (d) stages and levels of the change process can be identified; (e) the change facilitator needs to work in an adaptive and systematic manner; and (f) when the change agents are aware of where individual users are in the process, they can more readily implement change.

Change Facilitator Styles

Another influence on the degree of implementation success is the style of the change facilitator. Thomas (1978) identified three patterns of principal's behavior which relate to facilitation success: directors, administrators, and facilitators. The directors were interested in all aspects of the school and were the final authorities in the school. The administrators identified with district management rather than their own faculties and managed decisions which affected the school as a whole but not classrooms. The facilitators developed collegial relationships and empowered teachers with decision-making abilities. Thomas found that administrators and facilitators had less difficulty in managing alternative programs.

Hall, Rutherford, and Griffin (1982) found styles similar to those Thomas labeled, but they described them as initiator, manager, and responder. Initiator style leaders hold clear, decisive, long-range goals for their schools and keep stakeholders and programs moving toward those goals. They are creative, hold high expectations for all, and monitor those expectations through constant interventions. Manager style principals are efficient in administering their schools and protect their teachers. They seldom delegate, but when they do, they closely monitor those expectations through constant interventions.

Manager style principals are efficient in administering
their schools and protect their teachers. They seldom
delegate but when they do, they closely monitor what the
designee is doing rather than work with him or leave him
alone. The responder style principal scores high on
relationship and tends to delay decisions to get as much
input as possible. Responders see their primary task as
maintaining a smooth-running school and often sacrifice
long-range goals for immediate ones. Clearly, the
initiator is the most effective change facilitator (Hall &
Hord, 1987).

Hall and Vandenberghe (1988) drew on interviews with
initiator style principals to describe the "noodling
around" these principals seem to continually do and labeled
it strategic sense. During discussions with these
principals a pattern of thinking emerged which involves
reflecting on a conversation with a teacher, critiquing
actions, speculating on what should have been done,
evaluating what was accomplished, and focusing on what
should be done next. These thoughts about actions are
linked together with their interventions in a deliberate
sense so that interventions cluster and evolve into tactics
and ultimately into strategies for achieving longer range
goals.

Summary

Six change models were discussed along with a major study on change. Teacher concern and the style of the change facilitator exert major influences on the implementation success of the change. In terms of teacher success with change, the most effective change facilitator style is the initiator who sorts through new ideas, sets goals to reach his vision, and works to move the school towards that model. In this inquiry the three principals represented the three change facilitator styles that researchers have identified.

Qualitative Research in Education

Movement toward educational research as a science began in the late 19th and early 20th centuries (Giarelli & Chambliss, 1986, p. 34). As part of that movement, philosophy of education as a distinct discipline arose. Three views of that research emerged: (a) education could become a science if research were treated inductively; (b) education could serve to complete the work of the natural sciences by discovering reason and justification for the conclusions of the sciences; and (c) educational ideas arise in educational contexts and the role of science is to test the meanings of those ideas (Giarelli & Chambliss, 1986, p. 34).

The concept of educational research as a science produced scientific methodologies applied to the conducting

of research in the field (Giarelli & Chambliss, 1986, p. 34). Identification of the problem, generation of hypotheses, collection of evidence, and generalization of findings were accepted as steps in the research process. if the first or second view of educational research is accepted, this methodology becomes a valid means of conducting research. But if the third of the views is accepted, then rethinking the methodology to more appropriately gather data which reflect the context is necessary (Giarelli & Chambliss, 1986, p. 35). Amidst strong controversy a dichotomized view of educational research resulted: quantitative vs. qualitative (Howe, 1985).

The differences between the two approaches lie in the form, focus, and emphasis (Van Maanen, 1979, p. 520). The choice of a methodology indicates assumptions about the nature of the phenomenon which is being investigated and the nature of knowledge that can be developed.

Many disciplines have an exacting language which permits quantification. The researchers who adhere to the physical science model, or normative paradigm, are referred to as positivists (Howe, 1985, p. 120). From this perspective, descriptive science must be extended to the social sciences to lend legitimacy to the field (Smith, 1983). Although Comte did not initiate the empiricist tradition, his 19th century philosophy supported it. The

line of reasoning Comte developed has influenced research
philosophy since that time.

Comte (in Smith, 1983) believed that all sciences,
even though they differ in a level of maturity, are on the
same "track" because they employ essentially the same
methods and procedures. This viewpoint advocated that the
researcher maintain a neutral posture, a position which
includes having no bias or preconceptions, no emotional
involvement toward the subject, and a movement beyond
common-sense beliefs (Smith & Heshusius, 1986). The
positivist searches for facts and causes using methods such
as structured observations, counts, surveys, inventories,
demographic analyses, and other methods which produce
quantitative data (Bogdan & Biklen, 1982). For the
positivist, there is an absolute truth which can be
discovered by using the proper research techniques.

Dilthey (in Smith, 1983) was one of the first to
challenge this school of thought. He contended that
whereas physical sciences dealt with inanimate objects that
could be viewed outside of the researcher, the field of
social sciences dealt with human emotions and values. What
exists in the social world is what people perceive to
exist. Social science is actually the pursuit of self-
knowledge. Dilthey viewed social research as a hermeneutic
process where movement between the parts and the whole was

a continuous, inseparable process in which there was no
beginning and no end (Smith, 1983).

Howe (1985) aired both dogmas of educational research
and brought the issue down to researcher bias. He stated
that the epistemological justification efforts arose from
attempts to avoid bias. In the search of value-free
"truth," an emphasis was placed on control variables,
objectivity, reliability of measures, and independence.
Howe pointed to the fallacy of this type of thinking. He
used intelligence tests as an example. The test score is
given as a quotient for intelligence. It is, according to
him, the product of a subjective measurement of cultural
awareness. "Intelligence is associated with an array of
valued capabilities and activities" (Howe, 1985, p. 12).
In view of what he terms the inability to bracket or ignore
value issues, he calls for them to be rationally justified.
This requires the researcher to acknowledge what biases he
brings to the investigation.

The interpretive paradigm has been supported by many
authorities in the field (Eisner, 1981; Giarelli &
Chambliss, 1986; Koch, 1976). They view how people behave
as phenomenological and socially-interactionist rather than
in accordance with an established set of rules (Bogdan &
Biklen, 1982). To understand individuals one must
understand the context, and to interpret the context one
must understand the individuals (Smith & Heshusius, 1986).

Such a perspective means that social research is context-
bound, and any attempt to separate the two would result in
artificial data since there is no external social reality.

Shimahara noted that human behavior cannot be
understood if isolated from the context (Sherman, Webb, &
Andrews, 1986, p. 2). Inquiry is a questioning or
searching with an intent which is bounded; it cannot be
abstracted (Giarelli & Chambliss, 1986, p. 2). The context
within which the inquiry occurs is natural and must be
taken as it is. Moreover, the experience must be taken as
a whole. Thus the researchers must "cultivate sensitivity
to situations as a whole and to the qualities that regulate
them" (Giarelli & Chambliss, 1986, p. 3). Ross (1987)
reiterated that the focus must be on the nuances and
underlying complexities of the experience.

Mishler (1979) pointed to the myopic focus of
researchers who tend to behave as if context were the enemy
of understanding, rather than the resource for
understanding which it is in everyday life. He pointed to
the mistaken belief that experimental laboratories are
context-free settings. Laboratories are a particular type
of social setting with their own specific contextual
effects on the subjects. Mishler compared the researcher
in these settings to a stage manager who is not testing a
hypothesis as true, but rather testing his talents to see

if he can produce an obviously true hypothesis by ingenious manipulation.

Before inquiry there is a question, and before the question there is an aesthetic activity, an activity called "qualitative thinking" (Giarelli & Chambliss, 1986, p. 35). All questions arise from a situation or context. According to Giarelli and Chambliss (1986),

> Qualitative thought sets up the conditions for thinking by mediating between unanalyzed wholes and analyzed parts. This thought makes the phases of experience and inquiry hang together by defining the parts in reference to the pervasive quality of the situation as a whole. Thus, qualitative thought brings rigor to inquiry in that it "circumscribes it externally and integrates it internally." . . . To attempt to quantify those dimensions of experience is to violate their nature. (p. 37)

To Eisner (1981) all inquiry is qualitative in that it seeks to discover qualities, to describe, to interpret, predict, or control qualities. Qualitative inquiry becomes a broad term which refers to research with several characteristics (Bogdan & Biklen, 1982): (a) data are collected within the setting under study, (b) the researcher is the main instrument, (c) data are descriptive, (d) the process rather than the product is the focus, (e) analysis of data is inductive, and (f) understanding of the perspectives of the subjects is of essential concern. The process is naturalistic and covers a spectrum of interpretive techniques all of which seek to describe, decode, translate, and find the meaning of

naturally occurring phenomena in the social world (Van Maanen, 1979, p. 520).

Quantitative research seeks to discover the "laws" which govern social interaction, whereas qualitative research offers an interpretive framework for understanding which cannot be pursued in the absence of context. In qualitative research, meaning is socially and historically bound, both for the investigator and the investigated (Van Maanen, 1979, p. 12). Qualitative research is less concerned with discovering the truth and more concerned with the creation of meaning and images which people find meaningful. From this meaning people verify, alter, and reject views (Eisner, 1981). The choice of which research methodology should be used becomes an epistemological issue.

This researcher selected a qualitative approach to this investigation since one of the purposes was to develop an understanding of principals' behaviors. A quantitative component is used only to enhance that understanding.

Summary

In this chapter, five areas of literature were discussed: cognition, reflection, leadership, change, and qualitative research. Chapter III contains an explanation of the research procedures that were used during this investigation.

CHAPTER III
CONDUCTING THE INVESTIGATION: RESEARCH PROCEDURES

<u>Introduction</u>

The purpose of this study was to examine principal intervention behaviors and related thought processes that occur during implementation of school-based management/ shared decision making (SBM/SDM). Three principals with different change facilitator styles were selected. Information was collected about the thoughts the principals had before, during, and after interventions and how the SBM/SDM interventions were linked to a vision the leader had for the school.

This investigation was undertaken to discover the similarities and differences of thought patterns of principals as they intervened to bring about change. One of the major components that must be addressed in an investigation of this type is justification for the method of research. This chapter begins with a statement of the rationale for the approach developed for this investigation. A description of the design of the study, concerns related to quality control and credibility, and the setting follow. A section on school-based management/

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shared decision making is included. The processes of data collection and analysis are detailed to enhance understanding of the study strategies.

<u>Approach to the Investigation</u>

This topic required a methodological approach that was less constricting than the empirical paradigm (Bogdan & Biklen, 1982). A preformulated hypotheses was not used to guide this investigation for three reasons: the absence of verified theory about principal reflectivity, the lack of a set of empirically documented constructs about the considerations of administrators as they implement change, and the lack of connections of their overt behaviors to a vision. Therefore, study questions were used to guide the investigation and provide a focus for the data collection process.

A qualitative orientation emphasizes three components: sociocultural patterns, cultural events as they are understood by the actors, and investigations in natural settings (Shimahara, 1986, p. 65). The latter of these components, the natural setting, has become the focus of controversy among researchers. Positivists call for a researcher to bracket the values he brings to the inquiry and collect only facts. Howe (1985) discussed the fallacy that fact and value can be separated. He stated that all researchers, whether cognizant of their values or not, conduct value laden research (p. 17). Mishler (1979)

stated that "we tend to behave as if context were the enemy of understanding rather than the resource for understanding which it is in our everyday lives" (p. 2). Ross (1987) stated that qualitative descriptions "should transport the reader to the scene, convey the pervasive qualities or characteristics of the phenomenon,a nd evoke the feeling and nature of the educational experience" (p. 21).

Giarelli and Chambliss (1986) stated that perceptual fields are experienced as wholes. Ross (1987) supported the view that the unity of experience is an aim of qualitative research.

In this study the researcher pursued a holistic understanding of the ways in which principals go about implementing the complex multi-faceted innovation of school-based management/shared decision making. To address the guiding research questions, a qualitative methodology was selected as the most appropriate technique for collecting data. A cross-site descriptive case study design was selected. Because the data analysis required varied techniques to give a comprehensive understanding of the central issues, both qualitative and quantitative methodologies were used for the analysis.

Protection of Human Subjects

The proposal for this investigation was submitted to the Committee for the Protection of Human Subjects at the University of Florida. The proposed project was approved

by this research approval board. Participation was voluntary and anonymous, and no subject was placed at risk. Even so, the researcher met with the district administrators to discuss the study. The researcher also met with each subject to discuss the study, the demands placed on each principal, the forms which were used, and each subject's responsibility in the inquiry. Assurances of anonymity were given to the district administrators and the participants. Each subject was given an overview of the study. All questions the participants had regarding the inquiry were addressed openly. Then, each principal involved in the study completed an informed consent letter. A copy of this letter is found in Appendix A.

A coding system was devised which provided participant confidentiality. Names of individuals and their schools were removed from the data.

Design of the Investigation

The design of this investigation was guided by the processes of the interpretive research paradigm, by the literature review, by the guiding questions which focused this investigation, and by the earlier studies of principal interventions and change facilitator styles by Hall, Rutherford, and Griffin (1982) and Hall and Vandenberghe (1988). Conscious of the concerns of quality control or reliability generated by using qualitative methodology, the researcher considered and addressed this issue.

The goal of this study was to explain principals'
reflections about their interventions during implementation
of school-based management/shared decision making. The
study addressed three components: (a) documentation and
analysis of the principals' intervention behaviors; (b)
thoughts which went on before, during, and after the overt
behavior; and (c) an analysis of the relationship between
the two.

In the classical ethnographic way, the researcher
described the culture in as much detail as possible without
the use of structured questionnaires (Bailey, 1982). The
flexibility this method allows permitted the researcher to
focus on the implementation of school-based management/
shared decision making, while collecting the richest
possible data (Lofland & Lofland, 1984, p. 11). A wide
array of data sources and evidence were available to the
researcher. Using this open-ended approach, she was able
to take notes on the context, sit in on council meetings,
observe principals in interactions with parents, students,
faculty, and central administration, ask interview
questions, collect artifacts, and attend staff meetings.
Lofland and Lofland (1984) advocated ethnographic data
collection for two reasons: (a) face-to-face interaction
is the fullest condition of participating in the mind of
another human being and (b) that one must participate in
the mind of another human being (in sociological terms,

"take the role of the other") in order to acquire social knowledge (p. 12).

In addition to observation, the study design incorporated intensive interviewing, a method also known as unstructured interviewing (Lofland & Lofland, 1984). This technique took the form of Kagan's Stimulated Recall. Lofland and Lofland (1984, p. 13) believed that observation and interviewing are mutually complementary and that classic observation always involves looking and listening, watching and asking.

Kolb's cycle of experiential learning (1974) formed the conceptual design for this investigation. In the Kolb cycle, experiential learning is a four-stage cycle which begins with concrete experience, or the direct experience of the event. This proceeds to stage two, or reflective observation where one reflects on the experience and considers its main features. The third stage, abstract conceptualization, allows for making sense of and developing meaning of the event. The final stage, active experimentation, is action based on interpretation.

This investigator addressed all four stages in this study. She attempted to analyze the first stage, concrete experience, or as Hall (1987) labeled it "interventions," and used stimulated recall techniques to help the subjects reflect upon those experiences. The discussion which follows the recall process is similar to stage three of

Kolb's cycle, abstract conceptualization. If principals
conduct this step in a certain manner, they link goals to
the interventions in a strategic way. The results, active
experimentation, form the basis for new concrete
experiences which begin the cycle again.

The study was a multiple site investigation within an
urban area. Three elementary school principals who had
been nominated by their assistant superintendent
participated in the study. The subjects were observed in
their natural environment. According to Bailey (1982),
studying behavior which occurs in its natural environment
is a major advantage of observation.

Five days at each site over a period of 10 weeks
during a critical phase of the change implementation served
as data collection periods. Each principal was shadowed
and his intervention behaviors were documented. As part of
the field work, a set of critical incidents was selected at
the end of each data collection period and the principals
were asked to recall in depth what they were thinking about
as the incidents unfolded.

The interventions were coded using Hall and Hord's
(1987) change codes, and quantitative statistics were
produced to enhance the meaning of the data. While the
study focused on observable behaviors, these concrete
phenomena served as indicators of broader goals the
principals had for their schools.

The concrete data were analyzed using quantitative methods, but the considerations and behaviors were analyzed using qualitative techniques. Although some prominent theorists condemn using quantitative and qualitative methodology in a study for fear of doing a thorough job of neither (Miles & Huberman, 1984), Eisner (1981) believed that all research is qualitative. In a paper presented at the annual American Educational Research Association meeting in Boston (April, 1981) Eisner said, "There can be no empirical research, that form of research that addressed problems in a material universe, that does not aim to describe, interpret, predict, or control qualities" (p. 5). According to Eisner (1981) quantitative research which is not firmly planted in the qualitative will serve no useful function. This study incorporates both aspects to give a deeper understanding of the meaning of the data.

Mapping techniques were used to build patterns in both behaviors and considerations. These emerging patterns and linkages were studied to enhance the depths of complexities of the interventions. These were then compared to each other and the change facilitator style was considered. Together the quantitative and qualitative analyses yielded a holistic perspective for viewing the change process.

Guiding Research Questions

This study investigated the considerations of principals as they engaged in the task of implementing

change aimed at school improvement. The research question which guided this investigation was: In what ways are principals reflective about their interventions during implementation? Relevant study questions were: (a) Are principals' interventions linked to broader goals that they have for the school? (b) How do intervention behaviors differ among these three principals with different change facilitator styles? (c) What are the characteristic elements and patterns of reflectivity in these three principals who employ different change facilitator styles? (d) Does one particular principal, who exemplifies a given change facilitator style, show more complex reflectivity?

Boundary and Focusing

The decision about the limitations and boundaries for this investigation had to be made within the context of the study. Those limits emerge as the problem, the specific issues, and the case selected are considered (Bogdan & Biklen, 1982; Guba, 1981). Traditional research has clear limitations established a priori, but emerging boundaries characterizes qualitative research (Miles & Huberman, 1984). According to Miles and Huberman (1984, p. 37), qualitative research is an investigative process similar to detective work which gradually makes sense of a social phenomenon. Using Wolcott's (1975) suggestions that educational research have a boundary for scope and time, this investigator utilized the guiding questions to set

realistic limits to the investigation and to assist in
deciding which data were relevant.

The site chosen had to be one where a major innovation
in education was in an infant stage of implementation. To
prevent the data from becoming so overwhelming as to be of
no significant value, a time limit of 10 weeks was set.
The timing had to be exact to coincide with a critical time
of implementation. For this investigation, the end of the
first year when formal formative evaluations were being
conducted and reviewed at each site, proposal changes for
the following year were being decided, and reflection on
the year in retrospect were critical times which served to
further focus the investigation.

Based on the literature about qualitative research,
the recommendations of the dissertation committee, and the
exploratory nature of the topic under study, the design of
the study was established as flexible and evolving rather
than rigidly predetermined (Elliott, 1985). The guiding
questions directed that observations, interviews, committee
reports, and council meetings all serve as sources of data
for the study.

Subject Selection

Awareness that statistical inference is based on the
laws of probability is a major component of quantitative
research. The more representative the sample, the greater
the generalizability of the findings of the investigation

to the greater population (Ary, Jacobs, & Razavieh, 1985, p. 138).

For this study, informed nomination by the assistant superintendent was used to designate subjects who stereotypically seemed to match the prototypes of the three change facilitator styles labeled by Hall, Rutherford, and Griffin (1982). To ensure maximum "fit" between the designees and the prototypes, the project leader had to become familiar with the initiator, manager, and responder types.

The project leader was knowledgeable in educational research and change implementation. His efforts to spearhead the school-based management/shared decision making model which was being investigated had produced numerous journal, magazine, and newspaper articles, as well as several volumes about the innovation of shared decision making (District Publication, Press Clippings, 1987-1988). Nevertheless, the investigator and the former dissertation committee chair met with the project leader for an exchange of information about the innovation, the study, and the requirements for the three subjects selected for the study. During that exchange, a learning/teaching atmosphere was established and the conference became a workshop for the participants. The project leader received articles and more information about the change facilitator styles for review. He later telephoned the former chair of the

dissertation committee to inform him of his nominations. These subjects served to further focus the investigation.

The principals of the schools were required to meet the following criteria: (a) be experienced administrators (each had seven or more years of site-based experience), (b) currently be in charge of an elementary school, (c) be participating in the first year implementation of the SBM/SDM model, (d) be identified by the project leader as a successful change facilitator, and (e) be selected by the project leader as representative of one of the three styles of leadership.

Interviews

Interviews were conducted at the end of each data collection day. The investigator would ask the administrator to select the incident which had occurred during the day which he judged to be the most significant in the implementation of the SBM/SDM model. Using Kagan's (1972) stimulated recall techniques, the researcher would recreate the scene verbally for the administrator. First the scene before, during, and after the intervention were objectively described. Then the principal was asked to relate what he was thinking at that time. As the interview evolved, the participant was asked probing questions to elicit considerations which he consciously entertained as the intervention occurred. For example, if a principal stated that he remembered something about a similar

situation, he was asked what that other situation was and how it was similar. He was also asked how that applied to the situation at hand. For purposes of later analysis, the principals were asked to think about their considerations before, during, and after their interventions.

There were a total of 15 face-to-face interviews and 18 telephone interviews. The face-to-face interviews ranged from 45 minutes to 2 and 1/4 hours. They were tape recorded and the interviewer took notes during the process. Telephone interviews were also conducted.

Documents

Several documents were collected from each site. These included agendas, letters to parents, descriptions of the innovations, copies of correspondence from the district office, evaluation forms, and memoranda to the staff. Information collected from the project leader included volumes on the innovation, newspaper articles, and the innovation. These documents were used to build a base for understanding the innovation.

Quality Control and Credibility

Quality control is the qualitative parallel of reliability (LeCompte & Goetz, 1982). According to Ary, Jacobs, and Razavieh (1985), reliability is "the degree of consistency with which it (the instrument) measures whatever it is measuring" (p. 225). The term credibility is interchangeable with validity (LeCompte & Goetz, 1982).

Validity is concerned with the extent to which an instrument measures what one thinks it is measuring (Ary, Jacobs, & Razavieh, 1985, p. 213). LeCompte and Goetz (1982) interpreted the basic concepts of validity and reliability in the same way for both quantitative and qualitative inquiry (p. 43). Validity becomes a matching of explanations of the world to the actual conditions in it, and reliability becomes a matter of replication for both. If these concerns are accepted by the investigator, then the investigator must also accept assumptions about external truths. According to Smith and Heshusius (1986),

> If, on the other hand, one conceptualizes reality
> from an idealist stance as mind-dependent, these
> definitions are impossible to bring into focus.
> Such a conceptualization disallows what is
> necessary to determine whether or not our
> explanations correspond to actual conditions--
> independent access to both our minds and to an
> independently existing, uninterpreted reality.
> Validity is best thought of as an "honorific"
> conferred on one explanation, from among others,
> with which one agrees. (p. 7)

Inquiry in the interpretive paradigm is epistemologically different from inquiry in the empirical paradigm (Smith & Heshusius, 1986). In the interpretive paradigm, validity becomes a label for an interpretation which is grounded. According to Taylor (1971), there is a circularity to the process because the hermeneutical process has no beginning or end. Validity and reliability are thus concerns of quantitative researchers. Even LeCompte and Goetz (1982) agreed that reliability in

qualitative research will more likely be approached than achieved. The importance of the context in qualitative inquiry and the impossibility to reconstruct it precisely, or to produce exact replication of research methods to achieve the same results attest to the unachievability of reliability.

With these conceptual differences stated, justification for the quality of the data can be addressed. Using the concerns that LeCompte and Goetz (1982, p. 32) listed for qualitative inquiry, the quality control of this investigation was established. These concerns are for external and internal reliability and external and internal validity.

The external quality control factors were considered and accounted for. The researcher was not a member of the studied group. If others attempted to replicate this study, this information would be necessary. The researcher in this investigation was neutral. She was not familiar with the subjects or the schools and, even though she was familiar with the district, she had never been to the district nor had direct contact with the project leader.

The subjects were selected by the project leader as being representative of the three change facilitator styles. The closer these subjects resembled the prototypes identified in research (Hall & Hord, 1987), the greater the quality control. This was an area of concern about this

investigation so time was spent with the project leader to familiarize him with the styles. Even so, much material was covered in a limited time, and the project leader was responsible for studying the material before making his recommendations.

Internal quality control factors were also considered. Low inference descriptors were used in discussions about the data. The account is rich in narration to provide the reader with many examples for credibility. Interpretations are based on these examples.

Peer researcher examination, as recommended by Smith and Heshusius (1986, p. 9) served to enhance quality control. This was the first major research undertaken by the investigator, but the former chair of her committee was an experienced researcher in this methodology. Using dialogue and feedback sessions, the data went through a system of checks and balances which increased the quality control. Two other experienced researchers were used as springboards for ideas.

To ensure that the data gathered were accurate, triangulation was used. Denzin (1978, p. 291) defined triangulation as the combination of methodologies of the same event within the same study. Jick (1979, p. 603) referred to triangulation as cross-checking for internal consistency. This study involved using staff members and

district office personnel to verify the authenticity of the data.

Miles and Huberman (1984, p. 242) suggested using participant researchers to gather feedback. Although this technique was not specifically used to verify that what the researcher had seen, heard, or recorded was accurate, verification by the subject was used. The stimulated recall interviews provided opportunity for this verification. The researcher would recreate the scene. If the pictures were inaccurate, the subject would correct it at that time. Even though the factual data were correct, nuances gathered during these feedback opportunities added insight which would otherwise have been missed.

History and maturation are likely to affect any qualitative study that involves ethnographic techniques. An assumption of ethnographers is that history will affect the nature of the data collected (LeCompte & Goetz, 1982, p. 45). For this reason, this investigation covered a period of only 10 weeks during a critical time of implementation. Rather than being a source of contamination, maturation was considered a natural occurrence of the context and lent meaning to the phenomenon which was under investigation.

The threat of informant reaction to the instrument is a danger to quality control. For this reason, the researcher's journal plays an important role in preventing

this from becoming a danger to contamination (Lofland & Lofland, 1984). Through the journal, the researcher can reflect on events and feelings and become aware of relationships which may be developing which may serve as a deterrent to data collection or the purity of the data. In addition to keeping a journal, the researcher was also in constant dialogue with another professional for feedback which permitted insight into threats to data collection.

Selection of participants to observe and informants to interview may pose a threat to the quality of the data. This was not the case in this study. The informants were selected by the project leader, and the staff to provide triangulation were selected by the informants. Maintaining contact with these participants reduced the possibility of bias.

According to Miles and Huberman (1984, p. 239), spurious conclusions pose a threat to quality control. To avoid this, none of the data were coded or analyzed for emerging patterns until the data collection phase was complete. As patterns emerged, they were shared with the former chair who provided feedback.

Initiating the Inquiry

Following is an account of the process the researcher used to initiate the inquiry. The type of study demanded that a major educational innovation be identified and access be given to sites implementing that innovation. The

innovation had to be nearing a critical phase so that the principal would most likely be actively evaluating and redirecting the implementation. For this innovation, the critical time was near the end of the first year. Two factors limited the implementation of this investigation: (a) the critical time was near the end of the first year which is the busiest time for principals and (b) the principals involved in any major educational innovation had likely been the center of numerous investigations during the year. The reluctance of the principals to allow a time-consuming investigation at a critical time for them was understandable. The second district contacted disallowed the study based on the above concerns. Although the first district (Kape County School Board) approached to participate in this investigation had similar concerns, the desire of the district to advance knowledge in the field of educational research was greater, and the study was eventually approved. The innovation, SBM/SDM, was the change which was nearing the end of the first year of implementation.

Selection of Sites

The nature of the criteria mandated selection of an urban or large suburban area. The district chosen was a large urban district in the southeastern United States which was implementing a school-based management/shared decision making model. The study was conducted in three

elementary schools in the district. The selection of the
school district which housed these schools has been based
on several criteria: (a) a major educational innovation
had to be apparent, (b) the innovation had to be in its
early phase of implementation, (c) the implementation had
to be nearing a critical time, (d) the district had to be
large enough to have a number of elementary principals
participating in the innovation so that each of the three
change facilitator styles of leadership as identified by
Hall and Hord (1984) could be as nearly representative of a
prototype as possible.

Using these criteria, the researcher began to identify
possible sites. In March, 1988, the investigator, who was
then engaged in coursework for the doctoral program, met
with the former chair of her dissertation committee to
discuss the possibilities of sites for conducting this
investigation. The chair had contacted professional
acquaintances in the field of educational research
throughout the United States to discover what innovations
were being implemented. The researcher had contacted
several professional acquaintances in the state educational
system and in local districts to learn the same. Together
the choices were listed and discussed. Although Bogdan and
Biklen (1982) suggested choosing a convenient setting, none
suited the needs for this investigation. A plan for

contacting preliminary sites was developed. A timeline for action was developed.

The first site, Kape County School Board, was contacted, but no response came by the allowed date. Follow-up was unsuccessful. Since timing was critical to the success of the investigation, another district was contacted.

The second district would not allow the study to occur in the district based solely on the timing. Although the district would have approved the study at an earlier time, the administrators refused to allow it at this overburdened time.

The third district was then contacted. The innovation to be studied in this site was not a well-organized one, but the district quickly approved the study and principals were designated as possible subjects.

Before the researcher could follow through on the subjects, Kape County unexpectedly opened up for the investigation. The project leader belonged to the same organization in the state to which the researcher belonged, and the common tie permitted the researcher entrance to the district. Through those connections, permission was obtained to conduct the study in the district.

Based on the needs of the study, the project leader chose three sites. Of the sites selected within the district, one was a kindergarten through sixth grade

elementary school, one was a kindergarten through fifth grade elementary school, and one was a magnet school which housed kindergarten and fifth and sixth grades.

<u>Gaining Entry to the Sites</u>

The initial on-site contact was made by the former chair of the researcher's committee and the researcher. The project leader provided materials which explained the innovation as well as time to discuss the project. The former chair and the researcher provided the project leader with an overview of the study and descriptions and research of the three styles of change facilitators as identified by Hall and Hord (1984). The project leader was to contact the former chair at a later date with his nominations of three prototypes to be used in the study.

Once the district had given approval for the study, the project leader notified the principals whom he had chosen to inform them of their nomination to participate in the study. All of the principals he contacted agreed to become subjects in the study. The project leader then contacted the former chair of this study and provided him with the names of the subjects. When the former chair informed the researcher of the nominees, he did not pass along which style each represented. By so doing, the researcher was kept blind to the styles of the nominees. This diminished the possibility of biased data.

Then the researcher contacted each subject via telephone for the initial contact. Arrangements were made for the initial on-site visitations. Each principal was assured of confidentiality and anonymity. Pseudonyms were given to each principal and site. The principal at site one, Mrs. Bursinger, was the first to arrange entry. The site was given the pseudonym of Webster Elementary. The site two principal, Mr. Muller, was the second principal to be contacted. Site two was named Haywood Elementary. The site three principal, Mr. MacDonald, was the most difficult with whom to confirm an initial on-site contact. His school was named Pierce Elementary.

During the initial on-site visit, the researcher presented a brief outline of the proposed project. Each principal at that time signed a letter of informed consent to show willingness to participate in the study. The project was presented in general terms to avoid influencing the outcomes. The participants were also informed of the research methods and subject selection process. Each participant was told that he was selected because he was viewed by the project leader as a successful change agent. The researcher also related what her role would be during the data collection process. She explained that although she would be shadowing and not involved as a participant in the events or issues which would occur, she would be using those events and issues in stimulated recall sessions at

the end of each data observation period. This process would serve as an opening to the interview and would be used each time a new intervention was discussed. The subjects were told that these sessions would be recorded for transcription and coding later.

Each participant requested feedback on his implementation of the innovation at the end of the data collection which the researcher agreed to provide. During the initial meeting, two of the participants listened and responded enthusiastically, but the principal at Webster Elementary acted suspicious. Even though the researcher assumed the role of learner (Bailey, 1982) to alleviate the subject's uneasiness, the perceived intimidation by the researcher's presence was apparent, and the subject remained somewhat anxious throughout the study.

Timing of the Investigation

The time selected for the investigation was near the end of the first year of implementation. This time was chosen as a crucial time when the first year was being reviewed, formative evaluations were being conducted, and feedback was being incorporated into the alteration of the model. Proposals for change were being considered and submitted for use during the second year of implementation. The nature of the reflective mode provided fertile ground for this investigation.

Because this was a critical point of innovation implementation, data collection began immediately. Lack of lag time between the initial visit and the data collection phase of the study mandated that the researcher appear open and quickly build a level of trust with the participants.

Each participant chose not to confirm all observation dates, but to allow flexibility to include as yet unscheduled events which could have a major impact on the data collection. The next observation dates were confirmed at the end of each data collection period. The subjects agreed that collection would begin immediately and continue over a period of two and one-half months, with a total of five days at each site. Each participant scheduled at least one observation time to coincide with a council meeting.

The Process of Data Collection

The nature of the qualitative study is evolving and unfolding (Elliott, 1985, p. 49). The metaphor often associated with this method of data collection is a funnel: the researcher collects everything at first and gradually narrows the investigation as the focus becomes more apparent. This inquiry, although it had no hypotheses, began further down on the funnel since it began with a focus. The researcher, although the main data collection instrument, used the tape recorder and school documents as the data recording tools.

Observing

Observations of the principals took the form of
shadowing. The researcher arrived at the school before the
principals and began collecting data about the site and
interactions prior to the administrator's arrival. This
permitted a "settling in" into the setting before the
active period of data collection began.

The actual time of data collection varied at each
site. It began approximately 30 minutes prior to the
arrival of the principal and continued during the time
school was in session. The data collection ended after the
intensive interview at the end of each day. This time
varied according to the events of the day.

The principals were followed as they moved about the
school, worked in their offices, ate lunch, conversed with
students, staff, and parents, and attended meetings. Ubben
and Hughes (1987, p. 7) pointed out that much of the work
of the administrator is to cause the school organization to
function efficiency and effectively by managing the
organizational behavior. The principals were followed
throughout their day as they conducted this business. The
researcher was only excluded once from an event, and that
was at a teacher's request. The principal afterwards
summarized the meeting for the researcher.

Interviewing

At the end of the day, the researcher met with the principal to conduct the structured interview. The administrator was asked to select what he deemed the most significant event which had occurred that day which related to the SBM/SDM model. In each instance, the event was one which the researcher had marked as significant, a note which provides some evidence of consistency of the data.

The investigator then used Kagan's stimulated recall techniques to verbally recreate the event in the mind of the principal. The administrator was then asked to recall what he considered at the time. Based on how extensively the subject related his considerations, the researcher probed to discover and expand before, during, and after intervention considerations, much like Kolb's cycle of learning. The investigator had to take care not to lead the principal into saying something he had not considered, but to thoroughly probe to ensure that all conscious considerations had been stated.

The researcher allowed the principals to continue intervention selection until the list was exhausted. If any significant ones were left which had been noted by the researcher but had not been listed by the principal, the researcher would name them and the same procedure was used to stimulate discussion.

Confidentiality

To assure anonymity of the site and the participants, the names of the district, the sites, the principals, and other participants have been changed. Narration excerpts have been disguised to assure confidentiality.

The Process of Data Analysis

According to Miles and Huberman (1984), the qualitative analysis mandates that creativity, flexibility, conceptual sensibilities, and "the ability to come to grips with ambiguity" become central to the qualitative analysis. Utilizing Bogdan and Biklen's (1982, p. 145) definition of data analysis, this investigator systematically searched and arranged data to increase understanding and discover meaning. Using Glaser and Strauss's (1967) constant comparative method of analysis which involves comparing incidents, integrating categories, and developing a theory, the analysis phase of this inquiry evolved.

This study required data analysis of two types: a quantitative analysis to set a stage for the descriptive characteristics, and a qualitative analysis for discovering meaning. Analyses were based on epistemological characteristics unique to each methodology.

Quantitative Analysis

The quantitative analysis consisted of coding and analyzing the incident interventions. These were then

grouped into tactics and, whenever appropriate, strategies. This information reinforced style selection.

Analysis of incident interventions. After collection of data, the principal's interventions were coded using the coding form for change interventions which was developed by researchers at the R&D Center for Teacher Education at the University of Texas at Austin (Hall, Hord, & Washington, 1982). A copy of this form is found in Appendix B. The Manual of Intervention Coding Rules which the team developed was utilized for accuracy and consistency of coding in this investigation. The intervention taxonomies which resulted during data analysis of the initial study were used in this investigation (Hall & Hord, 1987). Each intervention which related to the innovation was coded in seven categories: sublevel, source, target, function, medium, flow, and location. A list of the coding categories for this form is found in Appendix C.

The first of these codes, sublevel, refers to the relationship of the incident to other incidents or actions. If an incident were separated in space, time, or purpose from other actions, it was coded 010, isolated. If the action were a single action or interaction which was functionally related to other interventions, it was coded 020, or simple. The complex code, 030, denoted a set of related simple actions within a short time frame. A chain, 040, referred to a series of the same simple incident

delivered to different targets. The category of repeated
indicated a series of the same simple incident delivered to
the same target more than once (Hall & Hord, 1987).

The source category was used to indicate who initiated
the incident intervention. Since the principal was the
subject being shadowed, many of the codes would expectedly
fall under 151, the principal. The council was coded 159
for this study.

The target of the intervention was the person or group
at whom an intervention was directed. If the target were a
teacher, the code was 210. If the teacher was identified
as a sixth grade teacher, for example, and all sixth grade
teachers were to receive the intervention, then the target
became 221.

Function coding represented the purpose or intent of
the intervention (Hall & Hord, 1987). Eight
classifications under the category were used to analyze the
data: developing supportive organizational arrangements
and resources, training, consulting and reinforcing,
monitoring and evaluating, communicating externally,
expressing and responding to concerns, impeding use, and
other function.

The medium of an intervention was the form of the
action, such as face-to-face or written. The flow was the
direction of the intervention, whether one way or

interactive. The location was the setting where the intervention occurred.

Identification of tactic and strategy. The next step was to group incidents into tactics, or facilitation activities. Hall and Hord (1987) defined tactic as "an interrelated set of small actions intentionally taken to affect attitudes toward or use of an innovation" (p. 195).

The tactics were then clustered into strategies. Strategies are action plans designed to accomplish certain objectives in the change process (Hall & Hord, 1987, p. 191). Strategies reveal much about the philosophy and assumptions of the change facilitator. These were later compared to the change facilitator style of each principal and the patterns of reflectivity which had been developed.

Identification of change facilitator styles. The change facilitator style was unknown to the researcher until after analysis of the data. Based on the descriptions of change facilitator styles provided by Hall and Hord (1987, pp. 233-242), each principal was given a rating using data collected. Those ratings were then compared to the nominations which the chair had been given prior to the study.

Qualitative Analysis

Analysis of patterns of reflectivity became a unique problem. Yin (1981) discussed the difficulties with qualitative analysis. He stated, "There are no fixed

recipes for building or comparing explanations" (p. 61).
Because qualitative data "appear in words rather than in
numbers," they require different techniques and processes
than data from qualitative methods (Miles & Huberman, 1984,
p. 21). Accordingly, Miles and Huberman (1984) indicated
that "the core requisites for qualitative analysis" include
systematic doggedness, good conceptual sensibilities,
cognitive flexibility, creativity, and the ability to come
to terms with ambiguities (p. 251). This study followed
methods advocated by Bogdan and Biklen (1982) which adhere
to the idea that data analysis is "the process of
systematically searching and arranging" the data in order
to increase one's understanding of them and to enable one
to present to those not present what has been discovered
(p. 145). Analysis becomes a series of decisions and
undertakings rather than one "vast interpretive effort"
(Bogdan & Biklen, 1982, p. 145). This study followed the
constant comparative method advocated by Glaser and Strauss
(1967) which consists of comparing incidents, integrating
categories, and delimiting and writing developmental
theories (p. 114).

With cognitive mapping techniques and a concern for
quality control, the researcher reduced the data to small
bits and then pieced them together to show a coherent flow
of conceptions. Using the definition of reflectivity
developed by Hall (1987) which incorporated Hall and

Vandenberghe's concept of Strategic Sense (1988), this study focused on the concept of reflectivity as a looking back at past experiences, consideration of varied possible imagined contexts, view of overall goals, and a conscious planning of intervention to achieve closer proximity to the strategic goal. In this sense, reflectivity assumes a proactive stance where different mindscapes are built and one is deliberately selected. Having this definition clearly in mind, the researcher was guided during the data analysis process.

Once the considerations were listed for a given incident, a flow chart could be built. The complexity of the charts could then be compared to the change facilitator style and the strategies developed earlier.

The final step was to place all of the results of data analyses side-by-side to provide for comparative analysis. This permitted the researcher to look for trends or patterns and similarities or dissimilarities among the three data sets.

At this point a decision had to be made regarding the reporting format of the data. The guiding questions had provided focus for the investigation and had allowed pieces of the data to emerge. However, of greater importance was the merging of the data findings for a broad perspective. To understand both the information as pieces of a puzzle and information as the larger puzzle, reporting of both

became necessary. A gestalt of the data is reported here, with a culmination of the guiding question addressed as a means to achieve closure to the investigation.

Summary

The research procedures employed in conducting this investigation were presented in this chapter. After a brief introduction, the approach and design of the investigation were explained. Quality control and credibility of the inquiry were addressed. The process of initiating the inquiry and collecting the data followed. The final section was on the process of data analysis.

Chapter IV contains descriptions of the innovation and the sites. To enhance understanding of these findings, details about the nature of the climate at each site are given.

CHAPTER IV
THE INNOVATION AND THE SETTING

Although school-based management has been practiced at
various degrees in school districts across the country for
years, its components become more significant when school
based management is coupled with shared decision making.
In the field of education shared decision making is a
recent innovation. This chapter contains a discussion of
how the innovation evolved in the educational realm, how
the innovation was adopted by the school district which
sponsored this investigation, and how the different school
sites implemented school based management/shared decision
making. A description of the schools and the overall
climate at each site follows. Understanding of the
innovation and its implementation at each site is necessary
as a foundation for understanding the findings of this
investigation.

The Innovation

Shared decision making in schools implies the sharing
of authority for making important decisions. It is
characterized by greater trust of individual schools and
the teachers and administrations in them (American

Association of School Administrators, 1988). The concept
is founded on the theory that if teachers are given greater
authority for the work of their students, they will perform
to the best of their ability. Professional autonomy is a
strong component of the practice.

Knowledge about shared decision making filtered into
the educational world through the business realm. Drucker
(1982) learned that effective executives do not make
numerous decisions, but concentrate on a few important ones
which are strategically linked to goals. The decisions
they make are not to solve a problem but are instead
generic and strategic on a conceptual plane. Jay (1968)
theorized that the Roman Empire was so successful for so
long because there were no means of communication to create
a tightly-knit network, so power was decentralized. When a
man was appointed a governor, he was trained in Roman
government and skilled in leadership. Once he was
appointed and departed from Rome, there were no means for
keeping a close check on him.

Testimony on effective schools which was given before
the Commission of Education indicated that teachers should
participate in the management of schools (American
Association of School Administrators, 1988). Management
experts have noted the benefits to shared decision making.
They include (a) benefits to teachers by developing greater
motivation for their work, (b) benefits to principals by

allowing them more time to concentrate on instructional leadership, (c) benefits to superintendents by allowing them to concentrate on visionary planning, and (d) benefits to students by providing them the most relevant education (p. 28). Sara Lightfoot (American Association of School Administrators, 1988, p. 29) concurred that only by allowing teachers some freedom within teaching will the profession attract creative, bright, and energetic people.

Goodlad (1984) suggested that teachers should have discretion over some funds. The National Governors' Association (1986) added discipline, school goals, continuing education, curricula, and schoolwide problem solving to the list of areas in which teachers should participate in decision making.

A Nation Prepared (Carnegie Commission on Teaching as a Profession, 1986) and A Place Called School (Goodlad, 1984) suggested that more school-level decisions should be made in areas of budgeting, staffing, curriculum and instructional materials, and determining the use of space. Goodlad (1984) pointed out that with decentralization goes the accountability and responsibility for providing a balanced program of studies.

Peters and Waterman (1983) studied a number of companies where there appeared to be no organizational chart. Decisions were made from the bottom-up rather than from the top-down. Surprisingly, these companies often

were the most cohesive. The reason for these findings,
they concluded, was that excellent companies share a sense
of vision about who they are and what they are doing. They
also share a commitment to staying close to the customer to
provide the best possible service. The National Governors'
Association report (1986) superimposed this knowledge on
education when it called for clear and explicit expectation
levels to be established by state and local authorities but
implementation strategies to be developed at the school
site.

Another finding of Peters and Waterman (1983) related
to communication. Communication, a vital component in the
success of SBM/SDM, has four attributes. It (a) is
informal, (b) has extraordinary intensity, (c) is given
physical supports, and (d) is not the only method of
fostering and institutionalizing the innovation.

Barth (1988) listed guidelines for principals in
empowering teachers. These included (a) articulating the
goal, (b) relinquishing power, (c) empowering and
entrusting, (d) involving teachers before decisions are
made, (e) carefully considering which responsibility goes
to whom, (f) sharing responsibility for failure, (g)
permitting the teacher to enjoy responsibility for success,
(h) recognizing that all teachers can lead, and (i)
willingness to say, "I don't know how" (p. 141). He
concluded by stating that the school as a community of

leaders can become a reality if the environment offers independence, interdependence, and resourcefulness (p. 146).

Chubb (1987) surveyed 500 schools to explore successful institutions and discover what separates them from the less successful ones. He found that leadership, a strong commitment among the staff to academic excellence, and a team view of the workplace delineated the more successful schools. Decision making in the higher-achieving schools was significantly more democratic and the teachers more involved and influential in establishing disciplinary codes, selecting textbooks, designing curricula, and in choosing their colleagues. The relationships between the teachers and the administration were more cooperative. Authority was delegated to the classroom. Teachers viewed themselves as having more power to determine schoolwide policy and greater control of what they teach. Teachers performed not because of close monitoring and formal arrangements, but because they shared a common vision.

In a study by Rosenholtz (1987), three factors were strongly linked to teachers remaining in the profession: (a) task autonomy, (b) certainty about their capability to help students learn, and (c) learning opportunities for themselves. She found that, "When principals relinquish their need to control, and share discretionary actions with

their faculties, teachers become more unstinting contributors to the workplace" (p. 517).

Literature indicates that the business model of shared decision making applied to education holds promise for school improvement. Based on this information, some states adopted models of school-based management and shared decision making to improve student achievement. One such model was studied in a district which chose to implement shared decision making.

School-Based Management/Shared Decision Making

The model of school-based management/shared decision making (SBM/SDM) which was adopted in Kape County evolved from an earlier prototype in the state. In the state statutes appeared a mandate that read that "the school become a primary center in educational decision making." The state consequently mandated management training programs as a step toward making decentralized management feasible. Although the management training program became law, the means for carrying out the mandate was left up to the discretion of the districts.

The district board involved in this study recognized that budget decentralization must be tied to school-based decision making if it were to be successful. In 1973 the Board made an initial attempt to implement SBM. This attempt involved a system of allocating staff to schools which moved in the direction of weighted programs. The

following year, the board designated certain personnel as discretionary, thereby permitting school administration to shift funds for those allocations within their budget.

In 1975 the board piloted a school budgeting system which provided a system of allocating money based on a dollar basis except for designated categorical appropriations. Twenty-two schools in the district participated. Results were extremely successful.

The next year substitute and utility accounts were given to the principals to manage. This was eventually dropped, and a form of SBM was adopted instead. The new plan, which was still in operation at the time of this investigation, was a limited SBM program. It provided school personnel the opportunities to utilize budget appropriations in more unique ways. Not all principals were utilizing the plan to an extent which adequately met board requirements. The superintendent and the board felt the system needed major restructuring to encourage teachers to shape their work environment (District Publication, 1987-1988). This movement toward autonomy would mean a reduction in regulatory control. With students in mind as the ultimate winners, Kape County School Board personnel developed and submitted to the state education department such a plan in the summer of 1986.

The new plan for SBM included a component heretofore absent: shared decision making at the school site. The

principal would join his staff in joint problem solving and creative thinking to best meet the needs of the students in the school. Teacher professionalization would be stressed as a means of revitalizing the total school climate and operation. Parent and community partnerships with the school would be an important component.

With these goals clearly in mind, the board established guidelines for a pilot program. The initial proposal called for five schools from each level (elementary, junior, and high school) to pilot the plan. The training component would allow both administration and faculties to develop skills in the concept. This would include writing performance objectives for the school and deciding the direction of curriculum, student services, grade reporting, public relations, budget, and personnel. The focus would be on learning-centered schools.

One of the most outstanding features of the model was providing principals "utmost flexibility and freedom to enhance current programs, initiate new programs, and to work in concert with teachers and community to provide an exemplary program" (Kape County School Board Publication, 1987-88). The state approved the model and set aside a grant of $148,000 to support implementation.

Principals and faculties in the district were given the opportunity to volunteer to participate. The selection criteria for the principals involved were specified. The

process included application by the principals, letters of recommendation, an interview, and final selection by the superintendent or his designee. The evaluation process would be unique to each school site.

The 1986-87 year was designated as a preparation year. Principals would be selected and trained, an evaluation process would be established, and the computer program would be updated for the process to begin. The next three years would be a period of implementation with formative evaluations and program modifications an integral part of the process.

The SBM/SDM model mandated that certain issues be addressed. The strategy for the professionalization of teaching was addressed via a task force. District level administrators and union chairs and representatives were appointed to serve on the Task Force. Issues the group considered were accountability for the classroom; collegial control of the profession; and school-based planning, budgeting, and management.

Through use of subcommittees, the system for implementing SBM/SDM was hammered out. In order to implement the plan, over 100 waivers from the union and the superintendent had to be approved.

The concerns the Task Force addressed were (a) an improved educational program for all students; (b) an increased focus on resources, shared decision making, and

school level accountability; (c) greater flexibility in budget development and management at the school site; (d) increased collegiality as it relates to planning, implementing, and evaluating the instructional program; (e) greater opportunities for flexibility in staffing and scheduling, (f) greater teacher involvement in shared decision activities; and (g) increased opportunities for community, student, business, and parent involvement.

Once the implementation process had been resolved, the superintendent and the union president contacted all 259 schools in the district by memorandum. The notice gave school personnel an update on the status of the Professionalization of Teaching Task Force and called for submission of specific proposals for participation in the pilot program.

The proposals were to include a statement of intent. At least two-thirds of the faculty had to vote to submit the proposal. Each plan had to include a school-level SDM model. It also had to include issues and procedures they wished to modify. Specific legal or contractual obstacles which had to be waived to implement the proposal had to be listed. The plan rationale and expected educational impact were also components.

Fifty-three schools originally responded to the call for proposals. A joint labor/management team of 10 people reviewed the proposals. Using a weighted criteria

evaluation system, the committee considered educational impact, collegial process, SDM model, change factors, feasibility, the proposal itself, the rationale, community involvement, and school climate. Thirty-two of the 53 proposals were selected for implementation. Over 100 waivers had to be approved. No additional dollars were given, but schools were given discretionary judgment for 80% to 90% of their budgets.

The next step was training staff in the new procedures. Conferences were held where personnel from the 32 schools gathered. The principal, shop steward, and three representatives from each school attended. Consultants were hired using money given by the Department of Education to support the innovation. Team building and conflict resolution were major goals of the conferences.

Each school implemented its approved project. Even though the same innovation was being implemented, the models at Webster, Haywood, and Pierce were unique.

Site Descriptions

The district selected for this inquiry was an urban area in the southeastern United States with a large minority population. The district, Kape County, was a center for arriving immigrants and the schools must contend not only with urban poverty but also with the difficulties inherent in an area where 40% of the population has a native tongue other than English.

The Kape County School Board administration had become
a leader in the field of educational innovation despite the
seemingly overwhelming obstacles with which it must
content. The vision of the central administration was to
create educational centers where students could soar
academically. To that end such innovations as teachers-as-
deans, business partnerships for learning, lead teachers,
learning-centered curriculum, Saturday school, satellite
learning centers, and professionalization of teachers were
piloted. The innovation which served as the framework for
this study was school-based management/shared decision
making.

The concept behind SBM/SDM is that schools should
utilize the talents of the staff within the schools to
address the needs of the school's unique population. One
of the principals involved in the model was quoted as
having said, "When you have ownership, you enjoy work more.
You take better care of things. If it is just a place to
work, it is not the same" (Local newspaper, 1987).

The district allotted an extra $6,235 dollars to each
school for the first year to assist in the transition, but
after that the schools were to operate on prior budget.
Some financial incentives were offered to the schools. For
example, if schools were to reduce their utility bills, the
balance would be given to the school. If teachers were not
absent and did not use all of the money allotted for

substitute teachers, that money would become a resource for the school.

The innovation shook the traditional adversarial posture of management and union. In a speech to other educators in the state, the superintendent advocated that each individual return to his district and demand shared decision making at the local level. The media, reporting on the superintendent's speech, stated that outsiders would assume he was the president of the union not the superintendent of the district (Local newspaper, 1987).

School-based management/shared decision making was the change innovation researched in this investigation. The interpretive research paradigm on which this study was based considers the social world from the perspectives of social interactions and phenomena. Implicit in this paradigm is the belief that both interactions and phenomena are influenced to a significant degree by the contexts within which they are found. Hence, an understanding of the climate present at each site is essential to the understanding of the results of this study. Although the same innovation was being implemented at each site, the tenets of each varied. The climate at each site was notably different.

Webster Elementary

The staff at this site bore a resemblance to most elementary school staffs in an urban area. Forty percent

of the full-time staff were Black, 2% were Hispanic, and 2%
were Indian. Seventy-eight percent of the staff were
female. One-half of the staff has a master's degree or
higher. The average salary was $27,171 for the
instructional staff.

The students reflected typical urban characteristics.
Fifty-two percent of the student body were Black, 35% were
White, and the remainder were of other origins. Thirty-
five percent of the students received free or reduced price
lunches.

Ms. Bursinger, the principal, was the subject who
remained aloof from the researcher during the
investigation. She lauded SBM/SDM on numerous occasions
with such comments as

> School-based management is firmly committed to
> the professionalization of teachers, teachers
> taking control of their destiny. As a teacher,
> two things bothered me: isolation and no time to
> think. The difference comes with another adult
> in the room. With those things in mind you can
> move mountains. We are committed to opening the
> doors to creativity.

The principal did, however, sporadically voice
concerns: "The project leader claims to know what we are
doing, but he has never once stepped foot on this site
since this project began." Another time the principal
mentioned that the problem in education is that schools
want things but no one is willing to give resources where
they are needed. She remarked to the Council, "This school

has been cheated of funds for five years, but we can't get into a fighting mode or we won't get anything."

The atmosphere in the school was unique from the other sites. For example, once before the principal arrived, two teachers were talking in a back room. One said, "I wonder if we need a quality circle for textbooks?" They both laughed. The other one said, "We need a system. You can't just ask them overnight to do it." A third teacher entered the room and said, "We've been doing this for years. its just another name: school-based management."

The principal was unable to assume a proactive stance and, as a result, the school climate appeared fragmented as it confronted a series of crises. The first day of observation, the scheduling cards for the sixth graders who would be leaving the school the following year had been misplaced. Ms. Bursinger was told by the principal at the receiving middle school that this was "par for the course" for Webster. The principal appeared to take this remark personally. She spent a great portion of the day tracking down the cards, having students re-mark their choices, and personally delivering the cards to the other school. The rest of the day was filled with solving problems with teachers, disciplining students, and arranging for a workshop.

The council meetings appeared to be predominantly informal gatherings where Ms. Bursinger controlled the

conversation. The council president called the meeting to order and immediately turned it over to the principal. Several times during the meetings the principal would apologize for doing most of the talking and, addressing the Chair, "but I am talking too much, Mr. President. You go." To this the president responded, "Well, there's nothing really we had to do." The Chair would not or could not direct the meetings.

Most notable was a comment at one of the council meetings. The meetings were rarely scheduled in advance, and the teachers were often pulled out of class without prior notice to attend. At this particular meeting, the principal was having difficulty gathering together enough people to hold the meeting, so a teacher who had never been to one of the council meetings sat in to represent her group. The teacher listened as the council discussed issues, then stated that she had no idea what SBM was about, and that she could not evaluate it because she did not know its tenets. The principal quickly stated that the group representative had been carrying information back and forth all year. The discussions the representative had with the group were SBM issues. To this the teacher replied that the designated teacher had never held a meeting with them, and that she had never been asked for input on decisions being made in the school. The principal dismissed this as lack of understanding on the part of a

first year teacher and the focus of the council turned to other issues.

The concern of the staff over "spur-of-the-moment" occurrences was echoed by a veteran teacher in the school. She was a floating teacher who had come to the office to solve a problem. The day before she had been scheduled into Mr. Bell's room, but the room had other students in it when she went there. She wanted to know where she should go on this day. The principal told her she didn't know the schedule for the day. The teacher replied, "Don't worry. I'll find a hall, a closet, or something." She then left.

Haywood Elementary

The staff at Haywood were comparable to the staff at Webster. One-third of the full-time staff members were Black, and 12% were Hispanic. The remainder were White, non-Hispanic. Fifty-four percent of the staff had a master's degree or higher. The average salary for instructional staff was $30,677.

The student characteristics were not extraordinary. Twenty-six percent were Black, 27% were Hispanic, and the remainder were other. Thirty-one percent of the students were on free or reduced lunch programs.

The principal at this site, Henry Muller, was a rather formal man of retirement age who appeared very tired. He admitted to being "burned-out," a state which had come with increased responsibility in the school. Instead of viewing

SBM/SDM as an opportunity to delegate, he viewed it as a much greater responsibility in the school. Instead of viewing SBM/SDM as an opportunity to delegate, he viewed it as a much greater responsibility. He viewed himself as the "guardian of the greater perspective." Mr. Muller talked freely about the innovation and its impact on him personally and his role as principal.

Mr. Muller referred to the manner in which SBM was initiated as shocking. According to him, the superintendent had told the principals that SBM was his flagstaff program and as long as he was superintendent, it would be in place in the district. The teachers at the school circulated a questionnaire at the request of the superintendent to allow the faculty to vote on SBM. Mr. Muller stated that, "Jesus Christ himself could not have endured what the teachers wrote about me!" Next the principal, the union steward, and two teachers went to a three-day planning session where proposals were to be hammered out. The principal, already recalcitrant from what he termed the "crucifixion" from his staff and angered that he must now cooperate with his greatest enemy on the staff, his union steward, refused to cooperate the first two days. When it became apparent on the third day that a proposal must be submitted, he sat down and wrote one. The irony of the innovation, he felt, was best expressed by a relatively new teacher who was seated beside him when she

expressed the following: "This is a good idea, Mr. Muller. Teachers should be making decisions. I'd like to make a suggestion. We need to put band aids in each teacher's room to keep children from going to the clinic so often." The thought occurred to him that the million-dollar budget at the school was going to be in the hands of someone concerned with band aids.

Mr. Muller had returned to his school angered over what he viewed as a personal affront to his leadership. The following is an account of what happened next:

> Fine. They want to schedule. They want to be in
> charge of curriculum. Let them. So I just sat
> back and watched the group run madly around the
> school having no idea what was going on and
> making a mess. So I said to myself, "Wait,
> Henry. What are you doing? SBM is here with or
> without you. Don't let it destroy the school.
> At that point I began working with it and now I
> have gotten to a point that I can work around it.
> Now, I have a very competent group who handle
> things well. They share the decision-making as
> they always did, and I feel good about it.

Mr. Muller did not see himself as a fighter. He stated that he did not want to be seen as fighting the system of which he was a part, just as he would not want his teachers fighting him.

The atmosphere in the school was very formal. Everyone called everyone else by their last names. A business-like order pervaded the setting.

The principal viewed his main goal as teaching others the broad perspective. He felt it important that if all

staff members were going to make decisions, then they had to be trained to make those decisions. Mr. Muller had invested many of the school's energies and resources into team-building experiences for the council. He realized that he needed those as much as the staff in order for SBM to be successful.

Mr. Muller rarely went out of his office. Before school, between classes, once during lunches, and at the end of the day he was available on the sidewalks. Otherwise, he remained in his office and conducted business. He felt confident that his expectations had been clearly communicated to the staff, that the staff knew he was holding them accountable to achieve those expectations, and that he could attend to the matters of managing the school as his duties required.

The council in this school was very different from the council at site one. The chair was a strong leader who directed the meetings. She had established the agenda with the principal early enough to "set up" any special accompaniments required. For example, one of the ad hoc committees at the school had addressed dropout prevention. One of the participants on that committee attended one of the council meetings to discuss a proposal to address children at risk the following year.

One of the issues addressed at a council meeting best relates the function of the members. The council was

considering an evaluation instrument to be used to provide feedback at the end of the first year of SBM implementation. The chair distributed the instrument and allowed time for each member to review it. She then began going item by item over the survey for input. When she reached the third item, the principal said, "I wish you hadn't read number three." He proceeded to give an example of a similar item on a survey he had once developed for his church, and the disastrous results which he attributed to the wording of the item, similar to the wording of item number three on the survey. His remarks generated a heated discussion which seemed circular. Finally, he stated, "Well, let us not nitpick. Let's go on." To this the chair replied, "Okay, let's go on." Everyone laughed and the group proceeded to item number four.

The staff appeared comfortable with the role of the principal. They seemed to recognize that they were in a partnership with him. One example of this was a meeting between the principal and one of the teachers. The teacher told Mr. Muller of a student she suspected of having a venereal disease. Mr. Muller said, "This is what I was thinking. Think with me." He carried her through the situation, the task, possible actions, and results they needed to achieve. He gave her his recommendation. The teacher agreed, and added to it by recommending referral to

the health department. The principal replied, "Super."
The plan was then implemented.

Pierce Elementary

The staff at the third site was typical of the area.
Twenty-five percent were Black, 39 percent were Hispanic,
and the remainder were White. Eight-three percent were
female teachers. Fifty-four percent of the staff members
had a master's degree or higher. The average instructional
salary was $29,492.

The students reflected the urban characteristics.
Fifteen percent of the population were Black, 54% were
Hispanic, and the remainder were other. Sixty-two percent
of the student body received or reduced price lunches.

The principal, Mr. MacDonald, was a living testimony
to SBM. He never used the term SBM alone. He always used
the term SBM/SDM because he appeared to view the shared
decision making as a separate but very important component
of the model.

Mr. MacDonald's response to the innovation was very
different than those of the other two principals in the
study.

> This is the most exciting thing in education that
> has ever happened to me. I have been in
> education for 30 years. For the first time, we
> can do what we think is meaningful for kids, and
> that's a big change! Remember! It's SBM/SDM.
> Almost every principal would like to have SBM,
> but they don't like SDM. The bureaucracy has
> created a paper system which has taken teachers'
> time away from teaching to make a paper trail.
> It's inconceivable to me that people who have

made their way up in the system can say that.
You can't make a teacher teach. You have to give
teachers a say in what they are doing. Its not
SBM as much as it is SDM. We're really in luck
because the superintendent is a real advocate of
SBM. Before this everyone was concerned with
keeping their place in the system, and what
happens to kids is secondary. Dammit, it
shouldn't be that way. Kids should be first. If
we don't do a better job, we can't compete in the
economic system.

The introduction of the innovation at this site was a

unique experience. The principal had been a strong

advocate of SBM/SDM, but the faculty had voted it down.

The principal was crushed. He expressed that for years he

had awaited this opportunity and now it was going to happen

without him. Mr. MacDonald stated that he just waited and

did not do anything, but the teachers said that he

personally visited every teacher on staff and sold them on

the innovation over the next two weeks. The staff re-voted

and the desire to participate in the innovation passed with

98% of the staff approving. During a conversation with

four of the teachers, one of the staff members said the

staff voted for the innovation because the principal wanted

it so badly and the staff respected him so much, but they

had been content with allowing Mr. MacDonald to run the

school.

The climate at this school was atypical. The staff

and students appeared to have a desire to be there, and

humor was evident among the staff and between the staff and

administration. One example of this was at a council

meeting when the chair asked the principal how he had funded computers for the lab. Mr. MacDonald drew a deep breath, slowly stood up, and said, "I used money from construction funds." Everyone laughed.

Mr. MacDonald called the teachers by their first names. The principal was dressed in a short sleeve button-down shirt with no tie. The atmosphere in the school appeared free of conflict and relaxed, but businesslike. Parents and students who entered the office were greeted and attended to quickly.

The principal's comment of "We're a family because our commonality is what's best for kids" was echoed by the staff. The teachers often checked in with him, but not so much to seek advice as to update him on decisions they had made which might offer implications for him later.

The council was radically different from those in the other two sites in that Mr. MacDonald had given up power of veto. His indication as to why he had done so was that the faculty would not give the council credibility if the principal retained veto. "If I can't convince 5 of the 11 people that I'm right, then I'm probably wrong." The council's major tasks during the data collection phase were to budget the money for the coming school year, and to alter the proposal to reflect amendments. The council was an empowered decision-making body. During one of the

sessions, they traded in an additional vice-principal slot in order to fund an aide for each teacher.

<div align="center">Summary</div>

Each site had a unique climate. Webster Elementary appeared disorganized and reactive. Haywood Elementary was very formal, organized, and smooth-running. Pierce Elementary was characterized by a proactive operation where the power pyramid was flat. Even though each site utilized a shared decision making model, the patterns which evolved during data analysis were unique. Chapter V contains the results of the investigation.

CHAPTER V
RESULTS

Previous chapters laid the foundation for the study by revealing the purpose and significance of this investigation. An extensive literature review of cognition, reflectivity, leadership, and change followed. Central to the study was the selection of the study technique, and an examination of qualitative versus quantitative methodology and their appropriate applications in this study. Next came the research procedures, with scrutiny of quality control issues. Chapter IV described the innovation of school-based management/shared decision making and the settings which supported the investigation. This chapter describes the results of the investigation.

Introduction

The purpose of this investigation was to examine principals' intervention behaviors and related thought processes that occur during implementation. After a description of the findings, each study question will be addressed separately to provide closure to this investigation.

Change Facilitator Styles of Administrators

Research identified three styles of change facilitators (Hall & Hord, 1987). Each style was represented in this study. Even though these styles were discussed earlier, a brief review is provided.

The Responder

Responders are concerned with how others perceive them and emphasize the personal side of their relationships with staff (Hall & Hord, 1987). They delay decisions to allow everyone an opportunity to express their feelings. Because they believe teachers are strong professionals capable of making decisions, they allow others to make those decisions. They are concerned with running the organization smoothly while keeping teachers content. Hall and Hord (1987) found a tendency among responders "toward making decisions based on immediate circumstances rather than on longer range instructional or school goals" (p. 231). Responders make decisions one at a time with a present orientation. Their view of future change is limited. Often their decisions are influenced by the last person to whom they talked. Their decisions are characterized by rigidity: they will not modify decisions without extensive discussion and new information.

The Manager

Managers are different from responders in behaviors and orientation. They support the change process by keeping teachers informed. They are primarily concerned with administering their schools. Managers are protective of their staff from perceived excessive demands. Once they perceive district administration as wanting something in the schools, they set about to diligently carry it out. They do not typically initiate change. Delegation is not apparent in schools led by managers because managers seldom delegate responsibilities. When others are given tasks, managers closely monitor their behavior.

The Initiator

Initiator change facilitator style principals are similar to effective principals (Leithwood & Montgomery, 1982). They have a clear vision for their school and long-range goals for achieving that vision. They have strong ideas about effective teaching and schools, and spend tremendous effort in moving teachers, parents, and students in the same direction. They listen to input then make decisions. Each decision is based on long-term goals. Initiators are similar to successful coaches: They push, relay high expectations, frequently monitor staff and give feedback, and support. If they believe district or state policy should change in the best interest of students, they will implement strategies to change them, or "they will

reinterpret them to suit the needs of the school. They are creative in all aspects of school administration, including resources, and demanding of all, including staff, students, parents, and self" (Hall & Hord, 1987).

Summary

Each of the change facilitator styles represents a prototype which each of the principals from the study behaviorally approaches. The project leader had selected each principal to typify a style. Each principal will be labeled according to behaviors which research has identified (Hall & Hord, 1987).

In order to code each subject, the behaviors which indicate change facilitator style were considered. Each principal was charted in a style based on the behaviors, and a final score was calculated. The behavioral dimensions, identified by researchers (Hall & Hord, 1987) and used for this study were (a) vision and goal setting, (b) structuring the school as a work place, (c) managing change, (d) collaborating and delegating, (e) decision making, (f) guiding and supporting, and (g) structuring their leadership role. Using the behaviors and taped interviews with the principals, each principal was scored in each of these categories. The scores were then tallied to give an overall score for each principal. Figure 5.1 shows the scoring of each principal in these areas.

Table 5.1

Change Facilitator Style Coding

Behavioral Dimension	Responder	Manager	Initiator
Vision/Goal Setting	A = 1 B = 0 C = 0	A = 0 B = 1 C = 0	A = 0 B = 0 C = 1
Restructuring School	A = 1 B = 0 C = 0	A = 0 B = 1 C = 0	A = 0 B = 0 C = 1
Managing Change	A = 1 B = 0 C = 0	A = 0 B = 1 C = 0	A = 0 B = 0 C = 1
Collaborating/Delegating	A = 1 B = 0 C = 0	A = 0 B =.5 C = 0	A = 0 B =.5 C = 1
Decision Making	A = 1 B = 0 C = 0	A = 0 B = 1 C = 0	A = 0 B = 0 C = 1
Guiding/Supporting	A = 1 B = 0 C = 0	A = 0 B = 1 C = 0	A = 0 B = 0 C = 1
Structuring Leadership Role	A = 1 B = 0 C = 0	A = 0 B = 1 C = 0	A = 0 B = 0 C = 1
Total	A = 7 B = 0 C = 0	A = 0 B = 6.5 C = 0	A = 0 B =.5 C = 7

Ms. Bursinger   = Responder (7)
Mr. Muller   = Manager (6.5)
Mr. MacDonald   = Initiator (7)

SITE	SUBJECT	CODE
Site One Principal:	Ms. Bursinger	A
Site Two Principal:	Mr. Muller	B
Site Three Principal:	Mr. MacDonald	C

Points per dimension = 1

Characteristics of Change Facilitator Styles

Vision and goal setting. Responders allow others to generate school improvement initiatives or new ideas. They respond to teacher/student/parent interests in terms of the goals. Managers, on the other hand, collaborate with others in identifying school goals. Managers are open to new ideas and regularly engage others in review of school situations to avoid reduction in school effectiveness. Initiators respect district goals but insist on goals for the school which give priority to student needs. They take the lead in identifying future goals and priorities for the school and in accomplishing them.

Structuring the school as a work place. In the area of structuring the school as a work place, the responder grants teachers much autonomy and independence. He strives to keep classroom disruptions at a minimum. The manager is primarily concerned with a smooth-running institution, contends that staff are already busy, and paces request and task loads accordingly. The initiator sets high performance standards for teachers and holds them accountable. He establishes the instructional program as first priority and directs energies at supporting that priority.

Managing change. The responder accepts the district expectations for change, sanctions the change process, and

attempts to resolve conflicts when they arise. A more active involvement is taken by the manager. Concerned with the impact of the change on the operation of the school, the manager becomes knowledgeable about what is necessary for the change to fit smoothly into the educational environment and supports implementation. The initiator assumes a proactive role in implementing change. He directs its implementation to assure maximum use, troubleshoots problems that may emerge, and closely monitors the change effort.

Collaborating and delegating. The manager permits others to assume responsibility for the change effort. Those who assume responsibility have considerable independence. Managers seek input on the change and coordinate responsibilities. Initiators actively seek ideas and reactions to the change, set priorities, delegate to carefully chosen others, and monitor closely to ensure change implementation.

Decision making. Responders are characterized by a here-and-now approach to decision making. When deadlines approach, they make decisions required for the on-going operation of the school. Like the responders, managers accept the district rules, but unlike the responders, the managers go beyond minimum requirements. The decisions that managers make are based on norms and expectations which guide the school. Initiators consider what is

required for maximum school effectiveness and make decisions based on a gestalt view of the school with particular attention to learning outcomes and long-term goals.

Guiding and supporting. Teachers in a school led by a responder enjoy tremendous autonomy. Responders believe that teachers are professionals and need to be left alone to practice their profession. Managers see teachers as part of the total faculty and establish guidelines for all involved in the change effort. They maintain close contact with the teachers so they can anticipate needs and provide them with resources. Initiators believe that teachers are responsible for providing the most effective instruction. Initiators behave in proactive ways to provide resources often before they are needed and to remove potential roadblocks before they are identified as such.

Structuring their leadership role. Principals who are classified as responders are low-profile people. They are concerned with the day-to-day operations of the school. problem and task identification are determined by the opinions and concerns of others. The manager principal views his role as minimizing problems and is actively involved in the managing aspects of the daily operations. The initiator principal assumes responsibility for a strong instructional program at the school and personally intervenes to maintain emphasis on that goal. He may

delegate to others but keeps everyone focused on student priorities above all else.

Summary. Each style of leadership has distinctive characteristics. In order to code the style of each of the principals in this investigation, each behavioral dimension was considered. The results are discussed below.

Site Change Facilitator Analysis

Webster Elementary

Vision and goal setting. Although she was very creative, Ms. Bursinger's ideas never seemed to go anywhere. Ideas which came from the district molded her thinking on issues. A characteristic of a responder is that he responds in terms of goals of the school and district, rather than using those goals which give priority to the student needs (Hall & Hord, 1987). This is how Ms. Bursinger often responded. For example, an article had appeared in the newspaper regarding district building projects which had upset the teachers. At a council meeting, the principal said:

> We cannot get into a fighting mode or we won't get anything. The superintendent has a three year calendar for improvements. This school is scheduled to get a roof and security the first year. The third year is for classrooms. Tell everybody. Tell parents. They need to be along with us. If they go to the superintendent, he will say we are having a problem, and then we won't get anything.

This was a typical response for this principal. Due to consistent behaviors in this dimension, Ms. Bursinger was

rated as a responder change facilitator style in the area of vision and goal setting.

Structuring school as a work place. Ms. Bursinger, in structuring the school as a work place, responded to requests as they arose. For example, a consultant for one of the fine arts classes had not been paid the entire year. When the regular fine arts teacher had gone to the principal to work out a solution, the two of them made a telephone call and completed the necessary paperwork to solve the problem. Two weeks later the fine arts teacher found the paperwork still sitting in a basket on the secretary's desk. When the angry teacher came to the principal, the principal said it was not important to find fault but to solve the problem. She would make a trip to the district office to hand deliver the paperwork that day.

Managing change. The principal at Webster Elementary managed change in ways that were stereotypical for a responder change facilitator style (Hall & Hord, 1987). Her communications to the staff were very general and vague instead of clear and specific. For example, Ms. Bursinger told her staff that when she asked them to come, it was always important. She said that if someone came for an interview, she would randomly pull teachers without prior notice to help her interview. The teachers were told to have lesson plans ready so that if they were pulled at any time, the classes would go on.

Collaborating and delegating. In collaborating and delegating, the least effective change facilitator style will accept ideas from all but allow others to assume responsibility for the change effort. Ms. Bursinger would allow ideas from all; however, instead of the principal assuming responsibility for the change implementation, one council member most usually directed the ultimate flow. For this site, the media specialist had proportionally greater influence. She was privy to administrative information, and the principal often turned to her to solve problems. One example was when the principal asked the media specialist for advice regarding sending teachers to the SBM/SDM inservice instead of bringing it to the council for discussion. Because this was the principal's manner of collaborating, she was coded a responder in this category.

Decision making. The initiator change facilitator style principal carefully sets parameters related to goals and expectations before the decision making process begins, whereas the responder allows all interested parties to participate in decision making or to make decisions independently. Ms. Bursinger typically did the latter but did not teach those who were making the decisions how to do it, did not clearly relate expectations to them, and did not monitor their progress toward completing the task. An example of this was the teacher who was assigned the responsibility of coordinating the standardized testing at

the school. During the faculty meeting when the teacher was presenting the information, the principal leaned over to the assistant principal who was seated next to her and whispered that the testing coordinator had not mentioned the practice test, a vital component of the task. Since the school needed to have one, rules about when and how to give it had to be addressed. The assistant principal then raised her hand and asked about the practice test. The concern was addressed in the meeting and a plan worked out even though there was some disagreement among the teachers. Had Ms. Bursinger been an initiator, she would have been proactive about the task and have assigned parameters at the onset of assignment. She would also have monitored and supported the task to ensure that when it was presented to the faculty, there were no surprises. Ms. Bursinger was coded a responder in the category of decision making.

Structuring their leadership role. Ms. Bursinger supported the philosophy that teachers are professionals and should be left alone to do their work unless they request assistance or support. She made the statement that "teachers make their messes and should straighten them out." This philosophy is indicative of the responder change facilitator style. Ms. Bursinger's behaviors in this area were congruent with this philosophy.

Ms. Bursinger structured her role as an administrator much as the stereotypical responder would do. The tasks to

be accomplished were determined by the opinions and concerns presented. A grade level of students were leaving the school but not all students were going on the trip. An hour before the event, one of the teachers entered the principal's office and asked what was to happen to the students who were not going. The principal replied, "Have one of the teachers stay behind." Ms. Bursinger was coded in the responder column for the leadership role dimension.

Ms. Bursinger did have a way of dealing with others which personalized her style. She termed it being a "people person." She would often hug teachers, parents, or students, and call them "Dear." Although these actions appeared somewhat patronizing, the other people did not seem offended by them.

Results. Using the behavioral dimensions in the indicators of change facilitator style as identified by Hall and Hord (1987), each behavioral indicator was given one point for a total of seven points. Using data collected during this investigation, this principal scored seven points in the responder column, zero points in the manager column, and zero points in the initiator column. Since these categories represent prototypes, each subject is unlikely to score all points in one particular category. This scale was used for the purpose of indicating a style for each principal. Based on the scoring, Ms. Bursinger was coded as a responder.

The project leaders' identification of this subject was as an initiator. During the training session where he was introduced to the three types of change facilitator styles, he had insisted that the initiator was congruent with the laissez faire leader. As the former chair and the researcher inserviced the project leader on the types, he seemed not to grasp the differences in the styles. He insisted that the initiator was the laissez faire principal. Although the researcher attempted to correct this perception, there appeared little success. The project leader had only allowed the former chair and the researcher 30 minutes. More than half of that time was spent discussing the investigation itself. As the former chair and the researcher left, it was apparent that the project leader did not understand the styles. Literature was left with him to study before making his nominations. Since the styles were not correctly identified, it is doubtful that any of the literature was examined in more than a cursory manner.

The project leader did, however, recognize that the styles of each of his three nominees were very different. Whether his label of each was correct or not was not important. For the purposes of this study, each was carefully examined in depth and coded accordingly to reveal his style.

It is also possible that the project leader did not have an accurate perception of the principals in his charge. Ms. Bursinger had, during an angry moment, stated that she did not know how the project leader could possibly know what was going on in the school because in two years he had not once visited on campus. The fact that each of the three subjects did closely represent a style indicates that he was aware that they functioned very differently as change facilitators.

<u>Haywood Elementary</u>

The Haywood principal, Henry Muller, was coded using the same behavioral dimensions as those used for Ms. Bursinger. His score indicates that he is representative of a different prototype.

<u>Vision and goal setting</u>. Mr. Muller anticipated the instructional and management needs of the school and planned for them. In discussing his vision and goal setting behaviors, Mr. Muller made the following statement:

> My vision for the school has blurred a bit since I've been here. All of my energies have been focused on how to accommodate all of the impact of changing population and growing numbers. My overriding vision has always been a smooth-running institution . . . to control to the best of my abilities all of the different elements that affect this school. I have done the job I was brought in to do. I will probably not do any earth-shaking things now here. It's not my style. If I do, it will be the direct result of what someone else has initiated.

Findings from research which identified three change facilitator styles (Hall & Hord, 1987) indicated that "managers exhibit a different set of behaviors and orientation. They demonstrate responsive behaviors to situations or people, and they also initiate actions in support of a change process. They are efficient in running and administering schools" (p. 230). Clearly, Mr. Muller portrays the manager prototype in his thinking in this dimension.

Mr. Muller's behaviors also reflect the manager change facilitator style. The manager works to maintain effective operation of the school. Mr. Muller was physically separated from the assistant principal by a courtyard, but he had a direct intercom line to her office. He met with her regularly during the day to give and receive updates on events. One of his greatest challenges in this area had come soon after his appointment at this site. A teacher in another school who had been dismissed as incompetent was rehired due to a technicality and had been placed at Mr. Muller's school. The parents came en masse to protest. He had to deal with angry parents and district office personnel. Immediately he began gathering data to prove the teacher's incompetence and was finally successful in having her dismissed. Mr. Muller was coded as a manager in the dimension of vision and goal setting.

Structuring school as a work place. In the area of structuring the school as a work place, Mr. Muller clearly established norms for the school. An aide at the school who was well past the age of retirement had been having accidents lately. She claimed these occurred at school. According to her, one of them happened when she tripped over the waste paper basket in her office. According to the assistant principal, the accident really happened at home, and the aide wanted to school to pay for her medical claims so she listed the school as the site of the accident. The principal told the assistant principal that the two of them would have to talk to her and convince her to retire. Mr. Muller said, "We have a standard. . . . We're going to have to force her into it. We're going to be the meanies. She really realizes that she is not on task. You do understand that." The meeting time was scheduled. This was an example of Mr. Muller's focus on the smooth operation of the school. In this area Mr. Muller was coded as a manager.

Managing change. In the area of managing change, Mr. Muller typified the manager change facilitator style. He met district expectations for change as related earlier when he attended the workshop for writing the proposal for the school. he had spent much of the money given to initiate the innovation on team building and anticipated using the remainder of the funds on team building inservice

with the new staff which would be elected at the end of the
year. The typical behavior of a manager is that in the
dimension of managing change, he meets district
expectations. For this area, Mr. Muller was coded as a
manager.

Collaborating and delegating. In the area of
collaborating and delegating, Mr. Muller accepted ideas,
coordinated responsibilities, and stayed informed about how
others were handling their responsibilities; however, he
would also carefully choose and delegate some of the
responsibility for the change effort. This is a behavior
of a stereotypical initiator change facilitator style.
When he did delegate, he built in safety nets to assure
that the tasks were accomplished. At one of the council
meetings, a teacher presented research and information on
children at risk. In talking to the researcher, the
principal said, "I wanted him to have air time. I had
already read the articles. I have confidence in him to
know he's going to be competent--no surprises. So I was
able to sit back and relax. I know he will follow
through." Based on his behaviors in this dimension, Mr.
Muller was given one-half of a point in the manager column,
and one-half of a point in the initiator column.

Decision making. Decision making was a major area of
concern for Mr. Muller. He allowed others to participate
in the decision making, but maintained control of the

process through personal involvement. Mr. Muller's account of SBM/SDM explained this:

> I try to correct when I do something dictatorial. I think back about it a lot. In reality, you take the council. We say it's a decision-making body. In a sense, it is. But in reality, it is not. I did not want the flow chart to end with the council. I wanted a line to come out to administration. Not for veto, but because state law says the principal is--and the principal should be--responsible. I still don't like the flow chart, but I can cope with it because I still know that box is there whether or not it is drawn in.

In the dimension of decision making, Mr. Muller typified the manager change facilitator style. For this reason, he was coded in the manager column in this area.

Guiding and supporting. Mr. Muller guided and supported the change effort at his school. He maintained close contact with teachers and the change process to assist personnel with the change. At one of the council meetings, the teachers decided the custodians should clean the graffiti off the walls at least once a week. The principal explained to the council that when you get something, you give something in return. If the walls are cleaned, then rooms cannot be cleaned or bathrooms cannot be cleaned. The council would have to decide which was more important. After the council meeting, the principal called the custodian to his office to tell him of the discussion so he would not be caught off guard if one of the teachers approached him. An initiator would have been

more proactive and forceful in focusing the council on its
ultimate goals. In the behavioral dimension of guiding and
supporting, Mr. Muller was coded as a manager change
facilitator style because of his close monitoring of the
process.

Structuring their leadership role. In the dimension
of structuring leadership role, Mr. Muller exemplified each
of the descriptors for the manager. He saw his role as
minimizing problems, was actively involved in the day-to-
day management, was consistent in accomplishing tasks, knew
what was happening in the school and who was doing what,
and responded to others in a manner that supported school
operation. An example of this occurred when the principal
walked out of his office and into the inner corridor of the
school in order to observe the opening of school. He
talked the entire time he was standing in the corridor and
appeared detached from the events around him. Later in his
office he mentioned an incident which had occurred during
the school opening. He had witnessed one of his teachers
arriving late to class. Her students had been standing on
the sidewalk locked out of class for about two minutes. He
had made a mental note of her tardiness. He said the
teacher had filed a grievance of harassment on him, but he
was noting everything she did. The initiator would deal
with this problem directly every time it occurred. Because

Mr. Muller behaved in a manner similar to a manager, he was coded in that column for this category.

Results. Using the seven point rating scale that was established for categorizing style behaviors, Mr. Muller scored zero points as a responder, six and one-half points as a manager, and one-half of a point as an initiator. Overall, his score labels him as a manager style principal.

The project leader viewed Mr. Muller as the responder. While it was evidently common knowledge that Mr. Muller had not originally supported SDM/SDM, perhaps he had created an image of a responder in the mind of the project leader. He had, however, engineered a highly successful council to handle the innovation and was constantly looking for ways to improve and offer additional support to the teachers who were involved in SBM/SDM implementation. The project book from this school was selected as exemplary and was chosen to represent the project on a national level. The doubt as to whether the project leader fully understood the criteria for the three different styles remains.

Pierce Elementary

The coding for Mr. MacDonald at Pierce Elementary followed the same procedures as for the other two principals. The results are listed below.

Vision and goal setting. Mr. MacDonald respected district goals but insisted on goals for the school which gave priority to the unique population of the school. He

also assumed the lead in identifying future goals and priorities for the school and for accomplishing them. The SBM/SDM proposal changes for the next school year reflected this. The principal was frustrated at the system for not providing enough services to deal with children in need of special services. He proposed to the council a change within the auspices of SBM/SDM that all monies generated by the school be given to the school to be spent. Under the current proposal, the only monies which the schools were not given were categorical funding. The principal proposed receiving those funds at the school and hiring their own psychologist and social worker to deal with the special needs children. Mr. MacDonald stated, "The district is saying, 'You can't do it this way. You'll get sued.' There is a lot of money that should be spent in the schools that isn't." All of these behaviors, which were observed as typical for this principal, typify the initiator change facilitator style in the area of vision and goal setting. For this reason, Mr. MacDonald was given a point in the area of initiator in this dimension.

Structuring school as a work place. Mr. MacDonald structured the school as a work place in a dynamic manner. He insisted that all teachers give priority to teaching and learning. The original SDM/SDM proposal, which was written by Mr. MacDonald, addressed more direct teaching time for teachers and more time on task for students. When issues

were addressed by the council, the principal always reminded them of these first two priorities in the school. Under this dimension, Mr. MacDonald was coded as an initiator.

Managing change. Managing change was different for Mr. Macdonald than the other two principals. He anticipated change and began working to incorporate it long before it became a reality. Mr. Macdonald did this with SBM/SDM. He best described his attitude toward the innovation as follows: "I love SDM/SDM. I've been preaching it for 20 years. This is a dream come true for me." His behaviors were consistent with this philosophy. For these reasons, Mr. Muller was coded as an initiator change facilitator style in the area of managing change.

Collaborating and delegating. In the area of collaborating and delegating, Mr. MacDonald sought ideas from teachers as well as their reactions to the principal's ideas, then set priorities. Mr. MacDonald developed and used strategies to achieve successful collaboration and delegation. Unlike the other two principals, Mr. MacDonald left his door open as often as possible. He saw and spoke to every teacher every day. He always purchased something from the cafeteria so he could touch base with the cafeteria staff. He ate lunch with the staff every day. During those meetings, he talked about things that were happening in the school or things which were coming up. He

sought their opinions about them and often asked them what they thought about a particular action toward which he was leaning. He used this information to keep his finger on the pulse of the school community and to gauge how tough a battle he might have on his hands if they did not agree with him on a particular issue. Since these behaviors are typical behaviors for the initiator change facilitator style in the area of managing change, Mr. MacDonald was coded in the initiator column in this dimension.

Decision making. Mr. MacDonald respected the rules of the district but based the utilization of those rules on what was required for maximum school effectiveness. The decision making mechanism in this school, as in the other two, was the council; however, whereas the other two councils were predominantly concerned with management issues, the council at this site was different in that it dealt with decisions which had a significant impact on the school. For example, how to spend the two million dollars given to operate the school the next fiscal year was decided by the council. Mr. MacDonald's comment cited earlier that if he could not get five people to agree with him on an issue and thereby form a majority, then he was probably wrong typically relates his view of the decision making power of the council. In this category of decision making, Mr. MacDonald was coded a point in the initiator column.

<u>Structuring their leadership role</u>. Mr. MacDonald's
role as a leader was almost charismatic. His philosophy of
teaching was that he had hired the best staff possible,
that they were capable of the best possible instruction,
and they were charged with establishing expectations
consistent with this view. He told the council:

> You are wonderful. We need to get those student
> problems taken care of so you can do your job.
> The key issue is right here, but unless we get
> SBM/SDM in that area [categorical funds], we have
> failed miserably. Not because we don't know what
> to do, but because they won't give us the freedom
> to do what needs to be done.

Mr. MacDonald saw his role as one of ensuring that the
school had a strong instructional program and that teachers
were teaching and students were learning. He directed the
on-going operation of the school with an emphasis on
instruction through his personal actions. He was
knowledgeable of what was transpiring in classrooms. While
he responded to others with concern, he placed student
priorities above all else. The following comments
regarding his role focus on these characteristics:

> I pride myself as being fair and doing my job
> well. And doing my job well is getting the best
> possible education for every student in this
> school. And I have a view of being a rebel. I
> see the system as hindering me from doing my job,
> not helping me. And I have to figure out a way
> to get around them to do what's right for kids.
> I do SBM/SDM every day, but its informal.
> It's building an attitude. It's one-on-one. I
> do inservice--intentional inservice--every time I
> work through a problem, whether with a teacher or
> parent or student. So the next time that person
> works on a problem they will have the thinking
> down--thinking applied to specific problems. If

you have enough rapport with people, you can teach them one-on-one.

In the area of structuring his leadership role, Mr. MacDonald was coded as an initiator.

Results. Using the descriptors contained above, Mr. MacDonald was rated on the seven point scale. His rating calculated as zero points as a responder, zero points as a manager, and seven points as an initiator change facilitator style.

Mr. MacDonald most clearly demonstrates the initiator prototype. Even so, the project leader nominated him as the manager style principal. Within visiting on-site and viewing this principal carrying out the SBM/SDM innovation on a day-to-day basis, it would be easy to mistake the manager with the initiator. Since the innovation required peer evaluation among the principals, it is likely that the principals were categorized by the promptness of paperwork demands and other managerial task completion indicators.

Summary

Identification of the style of each of the three principals in the study provides a framework for understanding the patterns of change interventions and reflectivity which were revealed during this investigation. The Webster Elementary principal, Ms. Bursinger, was the responder; the Haywood Elementary principal, Mr. Muller, was the manager; and the Pierce Elementary principal, Mr.

MacDonald, was the initiator. Even though the project leader did not accurately label the principals as to their styles, he did recognize that they were very different in the manner in which they led their schools and implemented the SBM/SDM innovation.

Quantitative Analysis

The interventions of each principal which were coded were analyzed to the interrelatedness of each incident, who initiated it and who received it, why it was given, what medium was used, how it flowed, and where it occurred. The intervention coding forms which were used for coding the behaviors of the principals were collated and a percentage was calculated for the various components. The quantitative findings were used to enhance and extend the qualitative data. This allowed clarification of the evolving picture of the principals. Each principal's behaviors were coded then analyzed for patterns. The coding summary of these interventions is contained in Table 5.2.

Webster Elementary

The intervention data for Webster Elementary were ordinary. Of the 65 interventions which were coded, 86% of them were single actions, or incidents, involving relatively little time and were functionally related to other interventions. This indicates they did not occur in

Table 5.2

Intervention Coding Analysis

	Webster	Haywood	Pierce
Sublevel			
Isolated	9	40	10
Simple	86	50	72
Complex	2	10	11
Chain	0	0	5
Repeated	3	0	3
Sources			
Students	11	7	17
Individual users	0	0	1
Users as groups	2	0	1
Users as whole	0	0	4
Principal	78	83	62
Assistant principal	0	2	0
Council member	6	7	16
Targets			
Students	6	5	10
Individual users	34	31	30
Subset as individual	5	0	4
Subset as group	2	0	4
Subset as whole	5	0	0
Individual users	2	0	7
Users as group	0	0	3
Users as whole	3	0	1
Principal	12	10	9
Assistant principal	2	17	1
Council member	22	26	2
Project leader	2	0	0
Parent	5	0	4
Other extended	0	0	1
Change effort	3	7	22
Other	0	2	2
Function			
Policy making	2	5	12
Planning	3	5	4
Managing	9	19	9
Restructuring roles	2	5	11
Providing materials	3	0	1
Reviewing	2	0	0
Clarifying	2	0	0
Encouraging use	12	10	11
Reinforcing use	0	10	20

Table 5.2--continued.

	Webster	Haywood	Pierce
Problem solving	12	12	9
Sharing information	8	17	5
Information gathering	0	5	0
Reporting	0	0	1
Informing extended	3	0	0
Informing others	0	0	1
Praising	0	0	1
Enthusiasm building	12	0	1
Joking	0	0	6
Peacemaking	0	5	0
Complaining	15	0	0
Other concerns	2	0	0
Discouraging use	6	2	0
Interrupting use	5	5	2
Other impeding	2	0	4
Medium			
Face-to-face	85	83	68
Written	3	5	6
Audio-visual	2	0	11
Telephone	3	0	1
None	5	12	21
Other medium	3	0	1
Flow			
One-way	65	7	28
Interactive	28	79	49
None	8	14	22
Location			
Site general	0	0	14
School office	6	0	5
Principal office	41	74	43
Teacher lounge	0	0	1
Resource room	0	0	1
School library	5	19	17
Classroom	12	0	12
Playground	0	0	12
Other	35	5	5
District office	0	2	0

Note. Data are presented in percentages.

Webster Elementary: Ms. Bursinger = 65 Coded Interventions
Haywood Elementary: Mr. Muller   = 42 Coded Interventions
Pierce Elementary: Mr. MacDonald = 81 Coded Interventions

isolation but were relevant to other interventions. Nine
percent of the interventions were "isolated," or separated
in space or purpose from other actions. Three percent of
the interventions were delivered to the same target more
than once (repeated). Only one intervention was "complex,"
or a set of related simple actions within a short time
frame. This finding is consistent with other findings
about responder principals (Hall & Hord, 1987, p. 245)
which revealed that responders had more single
interventions and few complex ones.

Seventy-eight percent of the interventions at Webster
were initiated by the principal. Individual users
initiated 11% of them. The largest number of these, 33%,
were aimed at individual users but not at students. Twenty
percent were aimed at the council, and 12% were aimed at
the principal. One 3% of the interventions were aimed at
the change effort/process.   The function of the
interventions related to implementation of school-based
management/shared decision making at Webster Elementary
revealed that 15% of the interventions were characterized
by complaining or criticizing. This was the highest
percentage of the three sites. None of the actions was
undertaken to reinforce present use of the innovation
because little use was evident. On the other hand, 12%
were aimed at building interest or enthusiasm. Another 12%
attempted to encourage use. Eleven percent of the

interventions impeded use of the innovation. These findings are consistent with those of Hall and Hord (1987). They found that in schools led by responder change facilitator style principals, fewer interventions than expected occurred in the area of consulting and reinforcing use.

Eighty-five percent of the interventions were face-to-face. Although this was also true at the other two sites, the flow of interventions is different at Webster. Sixty-five percent of the interventions were one-way interventions, whereas only 28% were interactive. This would indicate a more directive manner of leadership, not a typical characteristic of a responder.

The location where 40% of the incidents by Ms. Bursinger occurred was the council site. Forty-one percent of the interventions occurred in the principal's office. Because the council site was a table in the principal's office, 81% of the interventions occurred there. Not only did the interventions occur in the small office of the principal but they also occurred behind closed doors.

Haywood Elementary

The interventions at Haywood Elementary showed that 50% of the principal's interventions were simple, or a single action that was functionally related to other interventions. Forty percent were isolated, or unrelated to other actions, and the remaining 10% were complex, or a

set of related simple actions within a short time frame.
This compares to the 2% complex interventions for the
responder principal at Webster.

Consistent with Hall and Hord's (1987) findings about
managers, fewer of the interventions at Haywood were aimed
at students (5%). The majority were targeted at individual
users (31%), with 17% aimed at the assistant principal.

As expected, the highest percentage of the
interventions at this site were undertaken to manage (19%).
Seventeen percent occurred to share information. As
indicated by the principal himself, no interventions were
involved in staffing.

The majority of the interventions occurred face-to-
face (84%) and interactively (79%). These findings are
contrary to those of Hall and Hord (1987), perhaps due to
the nature of the innovation.

Seventy-four percent of the interventions by Mr.
Muller occurred in the principal's office. Although the
finding by Hall and Hord (1987) of no significant
difference in location of interventions, the nature of this
innovation coupled with the manager's style would indicate
the probability of a larger number of interventions
occurring in the principal's office from whence management
occurs. Twenty-four percent of the interventions occurred
at council meetings. These meetings were held in the media

center after school. Because they remained separate data, this avoided the problem described at Webster.

Pierce Elementary

The principal at Pierce Elementary had the highest percentage of complex interventions (11%). Isolated, simple, repeated, and chain interventions were not unusual for Mr. MacDonald. These findings are consistent with Hall and Hord's (1987) findings of initiator principals.

In the analysis of the sources of the interventions, two initiators were significant for this site: individual users (17%) and council members (15%). The interventions at Pierce were aimed less at individual users than at the other two sites. This finding is consistent with Hall and Hord's (1987) finding that the initiator did fewer than expected interventions aimed at individual teachers (27% at Pierce).

A surprisingly large percentage (22%) of the interventions at Pierce were aimed at the change effort/process at this site. This finding is consistent with the strategic linkage between long-range goals and interventions which were apparent in the qualitative analysis of Mr. MacDonald.

While the percentage of face-to-face interventions at site three was average, there were fewer than at Haywood. This was due to a higher percentage of interventions which were initiated by sources other than the principal.

While the largest percentage of interventions occurred in the principal's office (43%), a large numbered occurred at council meetings (36%). Twelve percent happened in the classroom. In Hall and Hord's findings (1987), initiators had more than expected interventions occurring in the classroom. The original study which provided the information to label the three styles of change facilitators, however, involved the study of curricular changes. The fact that this change was an organizational change may account for the low percentage of interventions in the classrooms for all three sites.

Cross Site Comparisons

In a comparison of data from all three sites, several differences are apparent. There is a surprisingly larger number of interventions at Pierce Elementary which were aimed at policy/major decisions, those which affect the entire organization over an extended period of time. This suggests more evident linkage of long-range goals to day-to-day interventions. This indication is supported in the qualitative analysis also. These trends are consistent with the characteristics of the initiator change facilitator style (Hall & Hord, 1987).

Additionally, a higher percentage of the interventions at Pierce Elementary were used to reinforce present use of the innovation. This would suggest a higher level of implementation at this site than at the other two sites.

Since the initiator is the most effective change facilitator style, indications are that the principal at Pierce Elementary is the initiator. This is consistent with the qualitative findings.

Enthusiasm building, complaining, and impeding use occurred in higher percentages at Webster than at the other two sites. The code for reinforcing present use did not occur at all at Webster, but was apparent at Pierce. These findings support the differences in the qualitative descriptions of the climates at the two sites.

Incidents at Pierce were more complex than at the other two sites. Individual users and council members initiated more interventions at Pierce than at the other two sites. The council was far more likely to be the target of interventions at Webster, whereas the change process itself was more apparent at Pierce. The assistant principal accounted for a large percentage of the intervention targets at Haywood (17%). The manager's style of delegating but closely monitoring may explain this occurrence.

The flow chart revealed marked differences among the sites. The principal at Webster showed the highest percentage of one-way communication flow (65%), the initiator the next (28%), and the manager the least (7%). This supports the manager's characteristic of conscious

active listening. Mr. Muller's codes were the highest of
the three for interactive flow (79%).

<u>Summary</u>

The data analysis of the coding affirms classification
of the three principals. The principal at Webster most
closely resembles the responder change facilitator style.
The principal at Haywood, although not totally
characteristic of the manager prototype, is closely aligned
to research findings which label the manager category. The
principal at Pierce closely resembles the initiator change
facilitator style.

<center>Behavioral Patterns</center>

Each of the three principals was selected for the
study as being representative of one of the three styles
labeled by Hall and Hord. Summary descriptions of their
approach and leadership prototype support this view.
Analysis of the informational data further supports the
style differences. When intervention patterns were
analyzed, differences in overall approaches for
implementing change were revealed. Behavior patterns for
each principal also support these distinctions.

<u>Webster Elementary</u>

The intervention patterns for Ms. Bursinger were
difficult to piece together. Her patterns of interventions
did not evolve into strategies which were clearly linked to
a vision. The surface crisis-to-crisis survival which was

evident did not make her proactive, and there was no clear direction at any time other than to handle the immediate problem. Appendix D contains a sample of these data.

Although Ms. Bursinger verbalized that she worked with the council to train them in leadership, the incident interventions linked to this strategy and the perspectives she built for the council members were too few to see a pattern with linkages. The principal would give the group enough information to make a decision, but apparently no more. In convincing the council that an audit could be devastating and make her look like a poor leader, she related the story of a bad experience she had with an audit. She said she would not like to have the same thing happen again. Since there was no immediate word of an audit in the near future, the ominous warning became somewhat of a scare tactic. The council members did not respond and there was no closure or direction at the end of the intervention.

At another time, Ms. Bursinger explained to teachers and parents gathered at a meeting to develop a science proposal the requirements the state mandated for the students in each grade level. She used the chalkboard and handouts to apprise them of these mandates, then faded out of the conversation and allowed others to decide how to use it. The responder allows others to make decisions and views his role as administrative.

A tactic the principal verbalized but which was unsuccessful was to train others in leadership by setting up leadership opportunities. The principal often sent the council members back to their groups to present information or to facilitate group decision making on particular issues. One such issue was the structural organization for the following year for the school. She told the council it was time to decide if they wanted to continue with grouping according to the arts the students studied, or would a better configuration be grouping by grade level or ability level? The group decided that they did not want to go back to discuss it but keep it the same. They saw everything as running smoothly and did not want change. Ms. Bursinger did not encourage them to discuss it further or seek input.

Once, in a faculty meeting, Ms. Bursinger whispered to a teacher to tell the faculty they would be released early on Tuesday to make up for the faculty meeting time on Wednesday. The teacher did not tell them. The principal whispered to her again to stand up. The teacher would not. Finally, the principal told the group. Ms. Bursinger later told the researcher that she tried to give the teachers opportunities for leadership, such as this one, but that they were still afraid to assume the role. This is an example of how the principal responded minute-by-minute to developments, and how vaguely the staff understood SBM/SDM.

Ms. Bursinger directed others in ways which were consistent with the change, but she did not explain how this related to school-based management/shared decision making, nor did she create those opportunities. Examples of this include asking the new secretary to solve a problem, praising a teacher aide, complimenting a teacher on taking charge of the SAT testing, sharing information about workshops with teachers, and encouraging a teacher to change the date for the art show so that she could take advantage of a workshop. Again, all of these are examples of how little the innovation was understood and practices.

Ms. Bursinger assumed a serendipitous supportive role with individual users. She allowed the council members to decide the report card procedure for the end of the year, decide the procedures for a drug awareness day, and have input on the science curriculum. For each, she set no parameters or guidelines, and she brought up the topics instead of the council chair. There was never a written or verbal agenda and no regularly scheduled council meetings. These behaviors are typical of the responder who tries to minimize the demands of the change effort on teachers.

Other than these few behaviors which follow a common thread but form no strategies, the interventions by Ms. Bursinger were isolated: They were not connected in a systematic way to strategies. There were a large number of these behaviors, which included visiting classrooms daily

and disrupting, and ordering the special education teacher to take his students on a field trip to another state before school was out (this trip was never planned). Most remarkable about the incidents by Ms. Bursinger was the overall smaller number as compared with the principals at Haywood and Pierce.

Ms. Bursinger had a number of incidents not conducive to implementation of the change which formed a pattern. Hall and Hord (1987) labeled these interventions "mushrooms" since they were not planned or intended, but the effects which grew gradually had a major impact on the change. Mushrooms can be positive or negative, but the one which developed at Webster was negative. The principal, in reaction to situations which bubbled up, or due to lack of management skills, would handle situations in a manner which fostered staff complaints or anger. This would result in lack of commitment or cooperation on their part.

Ms. Bursinger behaved in ways of the stereotypical responder. Research findings indicate that a far less positive atmosphere exists in schools led by responders. This study supports that finding.

Haywood Elementary

Mr. Muller has the manager change facilitator style. Based on his interventions, his strategies are more evident than those of Ms. Bursinger. A list of the interventions which formed the strategies are found in Appendix E.

Mr. Muller's major strategy focused on team building and development of leadership skills in the council membership. His tactics were clear. He kept the group focused on responsibilities. At one of the council meetings, he submitted changes to the school-based management/shared decision making proposal for the next year which addressed uniform dismissal time for all students. The council chair accepted the proposal and opened the floor to discussion. An interactive discussion followed, with the chair acting as the facilitator.

Mr. Muller also built a broader picture for the council. He told the council that parents may help select the next principal of the school and that the council needed to think about the implications of that and begin to focus on some of the concerns which might result.

Mr. Muller assumed a supportive role for the current leadership on behalf of the individual council members. The council president was an empowered leader to whom Mr. Muller delegated many responsibilities. He carefully built the agenda for the council meetings in collaboration with her, taking care to inform her of behind-the-scenes information she needed to direct the council. Once the council meetings began, he assumed the role of an equal council member. His actions during council meetings were deliberately focused on providing knowledge and background

information the group needed before deciding issues.
Appendix E contains a behavioral sample for Mr. Muller.

Managers are focused on the smooth-running operation
of the school. Mr. Muller assumed a supportive role with
individual users relative to SBM/SDM to assure success of
the innovation within the confines of a smooth-running
institution. One tactic he used was to help teachers and
students problem-solve with him so they had the thinking
processes sufficient to problem solve themselves. Once,
when faced with a decision which he could have made, he
referred the parent to the counselor. Later he said it was
because he wanted to encourage the counselor to make
decisions and learn to problem solve. He had judged this
was a decision which she could make.

Mr. Muller also encouraged the assistant principal to
assume leadership roles, and to mimic his thinking
processes. This tactic not only allowed the assistant
principal to function as a co-leader in the school, but to
present a united front to the staff and community, a tactic
which provided greater continuity of the school's
operations. His encouragements included making decisions
about personnel, school plant, school organization, teacher
assignments, and scheduling.

Mr. Muller also spent much time meeting with staff and
students one-on-one to inform them of how SBM/SDM was
affecting their lives. He presented the impact in positive

terms with a proactive stance. Whenever possible, he would
inform the people whose lives would be affected in some way
by the change before the change affected them. When he did
meet with them, the conversation was never limited to
telling but to building the broad perspective within which
the change had meaning. An example of this was when he
discussed district policy regarding student suspension to a
teacher and asked her how she would have handled the
child's behavior.

The one area of school management which Mr. Muller
refused to transfer to the council was personnel. He
stated that personnel issues were confidential and not open
for discussion within a group setting. He continued to
make personnel decisions without teacher interaction unless
a teacher approached him about the issue. If that
situation arose, Mr. Muller listened and dialogued with the
teacher but made no decisions at that time.

Pierce Elementary

Mr. MacDonald, the principal at Pierce, described
himself as a rebel. The assistant superintendent had
referred to initiators as "pirates," romantic independent
heroes. This metaphor accurately described Mr. MacDonald.
Behavioral samples for Mr. MacDonald are contained in
Appendix F.

According to Mr. MacDonald, his style of leadership
had always been one which encouraged participation by other

players. When he heard rumors that SBM/SDM was being studied as a possible model for some of the schools, he was elated. His school had been one of the first to bring before the staff the decision of whether or not to pilot the model. Much to Mr. MacDonald's disappointment, the staff rejected the opportunity. He stated that he waited sadly until someone called for a re-vote two weeks later, but staff members stated that he actively lobbied them for two weeks, and that the staff re-voted the issue because they thought so much of him and did not want to disappoint him. Upon re-vote, the proposal passed overwhelmingly.

Strategies for implementing SBM/SDM were very clear in the patterns of intervention behaviors which Mr. MacDonald displayed. One of his most complex strategies centered around his assumption of a supportive role relative to the innovation with individual users. Tactics which he used were to help teachers problem-solve and to assist teachers in dealing with students or parents upon request.

The problem solving the principal conducted with the staff did not deal with everyday issues. Those problems were solved by the empowered staff. Interventions included a meeting between the principal and guidance counselor where the issue of how to resolve the problem of a large number of psychiatric evaluations was discussed. Another centered around the structure of the fifth grade awards assembly to accomplish several goals, one of which was to

incorporate fourth graders so they would understand what was expected of them the following year.

Mr. MacDonald did not interfere with a teacher's dealings with a parent or student unless the teacher or parent requested his presence. Once a teacher stopped by his office to inform him that one of her students had not been present, so she had called the father. The father said the child should have been in school, so he went to find him. The teacher wanted Mr. MacDonald to know in case anything should come of it. The child was later shot and killed by another student who was also skipping school that day. Although the teacher had handled the incident, the principal now had the knowledge to deal with the ensuing situation. Another teacher wanted Mr. MacDonald to meet with the parents of a borderline student. The teacher had met with them before, but she felt as though someone needed to "scare" the parents into bringing the child to school and helping her to succeed. Mr. MacDonald agreed, and they planned their strategy for the meeting.

Another tactic Mr. MacDonald often employed was encouraging teachers and students to assume responsibility. Each teacher hired his own aide. Mr. MacDonald had each teacher write the job description and evaluation for the position in his classroom, interview candidates for the position, and hire the aide selected. He also told them that they were responsible for supervising the aide to

ensure that the goal of allowing more direct teacher contact time was accomplished; however, if the aide did not live up to expectations, he insisted that he be dismissed. If the teacher did not feel comfortable with firing an aide, then Mr. MacDonald would dismiss. This is consistent with the belief of initiators that teachers are responsible for developing the best possible instruction and establishing expectations consistent with this view.

Another distinct strategy Mr. MacDonald used was assuming a supportive role regarding the council. He allowed the council to make policy and decisions with minimal or no input unless, in his professional judgment, it was headed in the wrong direction. At those times he believed it was lack of information or experience creating the situation, and he assumed the role of teacher with the group. The council developed a discipline plan for the cafeteria with no input but total support from the principal. The council voted to reduce fifth grade class size with the principal casting a consensus vote. The council also planned to cash in extra librarian and assistant principal positions in the fall and use the money to hire teaching or support personnel. The librarian objected, but the principal assumed a defensive stance and the two of them argued policy at some length. Finally, the council chair said the issue had been decided, that the two

of them were out of order, and the proceedings moved on. The principal agreed.

Mr. MacDonald's vision for the school was to give each child the best possible education for the maximum opportunity in life. He used SBM/SDM to accomplish that, but within that framework he used techniques to accomplish that vision. One of the tactics he used involved communicating with those external to the system. To that end, the aides hired to assist in the school were from the community. Mr. MacDonald felt that the school was educating the community as well as getting them involved in the school. He also served as a SBM/SDM advocate to other principals.

Mr. MacDonald relayed high expectations to staff and students via praise and challenge. He often intervened to make this happen. Some examples of these interventions follow:

1. He assigned teachers as aides during computer lab so the teachers could be inserviced as well as be in an assisting mode with the computer teacher.

2. When a teacher did not show up for a weekly "counseling" session with the principal and six students, the principal summoned him to the office via all-call.

3. Mr. MacDonald did not hire teachers he had not seen teach. He felt strongly about the success of students directly linked to the effective teacher.

4. At the beginning of the school year, Mr. MacDonald entered each teacher's classroom to tell the students in front of the teachers that everyone will respect everyone, and if anyone verbally or physically abuses them, they are to tell the teacher. If the teacher does nothing about it, the students are to walk out of the classroom and go straight to the principal's office.

A strategy which had not surfaced at the other two sites was often seen at site three: the principal used humor to personalize change. He gave and received teasing from staff members, including custodians, cafeteria workers, teachers, aides, clerks, and secretaries. The humor was light-hearted banter related to school or non-school matters. One example of this occurred the week before the new council president was elected. The women were teasing the principal that they were pushing for a female president. On another occasion, a teacher said she had decided to apply to teach summer school after all, and inquired how long she had before the form had to be submitted. The principal told her it was due two minutes ago. They both laughed.

Mr. MacDonald also dealt with issues in a manner which was consistent with council policy. If a student were involved in a discipline matter in the cafeteria, the parent was sent to see the teacher. When the principal suspended a child, the suspension was enforced until the

parent came to the school for a conference. If a parent had a complaint against a teacher, the principal refused to see the parent until the teacher was present.

Two additional strategies which were not seen at the two former sites but were present at Pierce surfaced. These were (a) the principal takes advantage of district opportunities to strengthen district commitment to SBM/SDM, and (b) the principal uses the bureaucracy in the district to the school's advantage.

For the first of these strategies, Mr. MacDonald held the district accountable on policy. The district insisted that their full-time emotionally handicapped educational facility was at maximum capacity and pressured Mr. MacDonald to staff a student part-time. He refused to succumb to district pressure to staff the student into a part-time program when a full-time staffing was needed. Another time the district established a firm deadline for submitting changes to the SBM/SDM proposal, but Mr. MacDonald refused to submit the changes without council approval. He contacted the district office and held firm on the time he needed. The district acquiesced.

The second of these strategies played a significant role in this school. The SBM/SDM proposal for this site had restructured the school and eliminated pull-out programs, even though the Spanish leaders in the system had opposed approval. The amended proposal for the second year

requested that all funds which were generated by the students be given to the school for disbursement. This amendment had passed the first hurdle.

Another important finding was that for Mr. MacDonald there were fewer incidents which seemed not to cluster anywhere. Most of the interventions could be placed directly into a pattern which was linked to a strategy.

Summary

The length of the sections on each principal is revealing. Mrs. Bursinger spent a lot of time sitting in her office waiting for the next crisis. She was disorganized and her strategies and tactics were vague. Her interventions were somewhat haphazard. To present them in an organized manner is not possible; therefore, the section on her behavioral pattern is brief. The manager, Mr. Muller, was concerned with a smooth-running school, and his actions formed a tight but clear pattern. The initiator, Mr. MacDonald, revealed a pattern of a broad perspective, but one which was highly organized and complex. Because of this, the section on his pattern was extensive. His strategies were linked to an overall vision he had for the school. The responder showed some clusters but no strategies, and the ones which emerged were weakly interconnected with no accumulating vision. Although the manager's interventions had linkages to goals, the

strategies were focused more on achieving and maintaining a smooth-running institution and not on long-range goals.

Patterns of Reflectivity

One of the analysis techniques of this study was to decode the interviews of the three principals and to map the flow of their thoughts using cognitive mapping. These maps or patterns were then analyzed to discover the extent to which they revealed reflectivity or a connection between the intervention and visionary planning. In this study, Hall's (1987) definition of reflectivity as mental consideration which is characterized by a visionary planning perspective and is oriented toward judgment of overall impact was used. Since, in this investigation, the definition of reflectivity used means the process only, the content and attitudes of the principal are not addressed in detail.

Webster Elementary

Ms. Bursinger's pattern was unique compared to the patterns of the Haywood and Pierce principals. When faced with problems, ambiguities, or situations which required strategic maneuvering, Ms. Bursinger intervened in a way which exemplified her day-to-day focus. Her actions were taken to address technical problems. Her thought pattern displays that her strategic maneuvering consisted of little more than recognition of a problem and organization of information to solve the problem. Her typical pattern

revealed that she viewed problems in a linear manner. She
would define the problem, consider solutions, consider
personal concerns, select the solution she judged to be the
best, and intervene. Once the process was complete, the
principal did not relate that the experience had been
incorporated into her judgment structure. Several of the
situations she faced were the same situations which she had
faced many times before. She continued dealing with the
same problems.

An example of this type of thinking occurred when a
parent visited the school to inquire about sixth grade arts
centers where her daughter could pursue an education as
well as her dance. The deadline for application at the
centers had passed and the parent had not been notified.
When the parent became belligerent, the principal agreed
that the lack of communication was "shameful." She said
that she had tried in vain to get the district to publish
such information in a magnet newsletter to parents but they
had always refused. She told the parent that she could
identify with her problem, but that every time she tried to
correct it she was "put down." She called for a district
awareness to address the problem. Later, in discussing
this, she told the researcher that the district placed her
in a position to look bad to her parents. Unlike the
initiator, she never recognized that she could assume
responsibility for communicating this information to the

parents in her community by sending a note home to the parents, spreading the word through the parent/teacher's organization, publishing the date in the newspaper, meeting with students, and so forth. Since she saw no solution to the problem other than addressing it on a district-wide basis, she encouraged the same problem to reoccur.

To explain Ms. Bursinger's pattern of reflectivity, the Personal Concerns Linear Model shown in Figure 5.1 was developed. This model is detailed in Appendix G.

Ms. Bursinger's typical pattern evidenced definition of the problem, consideration of personal concerns such as, "This makes me look bad," then selection of an option and action on it. A typical example follows. This example was not selected by Ms. Bursinger. In fact, she would seldom select any of her behaviors for stimulated recall. The researcher chose the following, and using stimulated recall was able to probe the thinking of the principal in relation to the behavior.

Critical incident. Ms. Bursinger was faced with the problem that the schedules of the outgoing students had not been received by the receiving schools. The deadline had passed, and the principal of one of the middle schools had called to complain. During the conversation the principal of the receiving school had commented that this was "par for the course" for Webster.
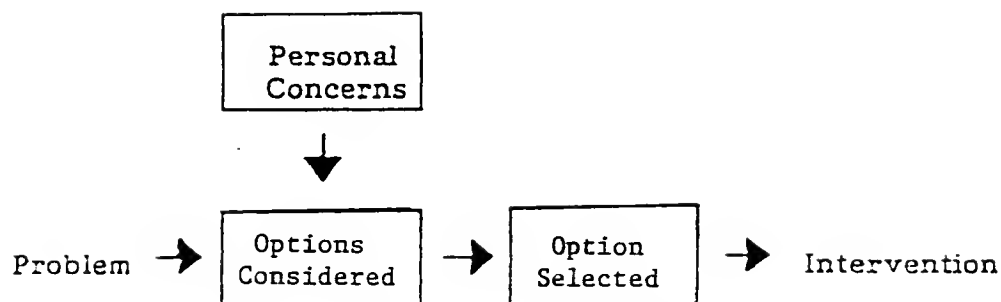
Figure 5.1. Personal concerns linear model.

Ms. Bursinger contacted the sixth grade teachers and told them to straighten out "the mess." One of the teachers came to her with several solutions. She selected one of the solutions and implemented it. This event was later recalled for Ms. Bursinger through stimulated recall. Her mind was probed about how she had orchestrated this process. Her thoughts revealed a simplistic pattern.

Ms. Bursinger listed solutions to the problem as the ones which the teacher had presented. She could (a) send home new schedules and send them to the receiving school even later, (b) call all the students to the cafeteria now and have them re-do schedules to the best of their memories, or (c) ask two or three students what they chose and ask them if they know what the other students had

selected. She weighed the alternatives and selected one. She had also had in mind three concerns: (a) "I believe that teachers need to straighten out the messes they make," (b) "Every negative thing that happens is bad for our image; it always comes back to me saying, 'I don't know how to handle this'," and (c) "I don't like to be found fault with."

During the stimulated recall interview Ms. Bursinger realized that the counselor to whom she had delegated the responsibility was new and did not have the experience to carry out this task without direction. She stated that she should have given her a deadline and maybe gotten her some help from one of the sixth grade teachers. She never indicated that she would do anything about it by way of providing feedback to the guidance counselor who was absent on this day.

When the thinking behind this critical incident was mapped, the resulting areas and flow were simplistic. Ms. Bursinger's pattern of reflectivity was very linear. She considered three alternatives, listed three concerns, selected an alternative which could address the problem quickly but draw the least amount of publicity, then acted. There was a looking back at the situation, but no commitment to take meaningful action to assure successful completion of the duty the next time it was due. Ms. Bursinger did not display nor discuss vision for the

school. Also, she never discussed interventions on an
impact level. Her interventions were reactive and at a
survival level. Using the definition of reflectivity which
guided the investigation, reflectivity on behalf of this
principal was not apparent. There was no conscious linking
of this action to visionary planning.

The initiator would have identified student's needs to
transfer smoothly into a new setting. He would have taken
a proactive stance by organizing the teachers around a plan
which included, as one of the steps, scheduling. He would
have delegated this responsibility to the counselor, but
would have given her deadlines within a fail-safe period
and would have checked on her progress to ensure success.
He would also have given her what resources and help she
would need to complete the task. Informing all groups,
including parents, would have been part of his plan.
Getting teachers, students, parents, and personnel at the
receiving school all involved would have provided a greater
chance that this situation would not have occurred.

Summary. Based on the definition of reflectivity as
mental consideration which is characterized by a visionary
planning perspective and is oriented toward judgment of
overall impact, the dimension of reflectivity was limited
in the cognitive pattern of Ms. Bursinger. Since she was a
responder, indications are that this responder had limited
reflectivity as she intervened as a facilitator of change.

Haywood Elementary

The principal at Haywood showed a very different cognitive pattern. Mr. Muller did not consider alternatives as did the responder at Webster. Instead, he reviewed a limited range of past experiences, listed one or two major situational factors, considered what he hoped to achieve immediately, and acted. Although his thinking was linear, his cognitive pattern was more complex and his sense of strategic maneuvering more acute. An example of this occurred when Mr. Muller refused to transfer an elderly teacher to another grade level. In later discussion about this decision, Mr. Muller said that he had considered all that he knew about the teacher. He had goals in mind: that he wanted to encourage her to retire, wanted to keep her where she would have the least adverse impact on students, wanted to keep the grade where the opening occurred free for another teacher he wanted to transfer in, and wanted the decision to have minimum impact on the operation of the school. He knew that her husband had retired and was encouraging her to do so, too. He also knew that many parents had complained about this teacher's rigidity in her current position and she had requested to teach children two years younger. Mr. Muller verbalized that placing her with younger children would create even more problems. For those reasons, he and the assistant principal chose to leave her where she was.

Mr. Muller always responded to the stimulated recall sessions in a positive manner. He was thoughtful and serious as he carefully answered the researcher's probing questions. He often said how helpful it was to go back over the incidents and allow him to talk through them. He would say, "Now that I've thought through this, I would do it a little differently next time," then proceed to tell how he would do it differently. Even though the researcher offered no critique of his interventions, he analyzed and critiqued his own actions. He ended every interview session by telling the researcher how helpful the session was, and how he felt a sense of renewal.

In the typical example which follows, Mr. Muller considered one past experience, one contextual factor, and 10 short-range goals he hoped to achieve. The interventions were targeted toward achieving the short-range goals. The pattern of Mr. Muller's reflectivity has been labeled the Past Experience/Short Range Model as shown in Figure 5.2. Details are provided in Appendix G. Mr. Muller selected an incident from the day and the researched used the stimulated recall technique to explore his thinking in relation to his behavior. The following is an example he chose.
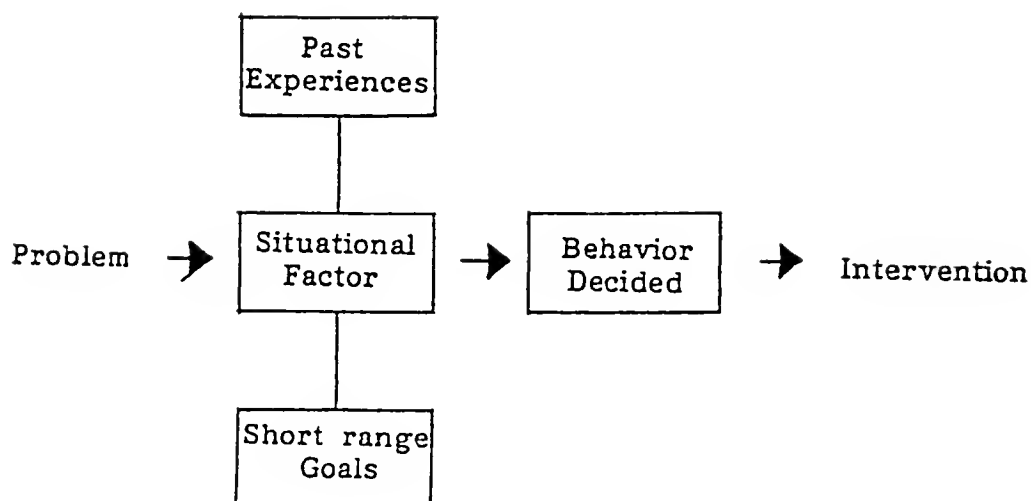
Figure 5.2. Short range/past experience model.

Critical incident. An issue which arose dealt with a student who had been suspended from school. The principal had held a conference with the parent and the student before school and had subsequently reinstated the student. When class began and the student appeared in the teacher's classroom, the teacher went to the office and confronted the principal. The principal moved the confrontation from the office area into his office and closed the door. He explained to the teacher why he had placed the student back in the classroom in spite of the fact that she had wanted him suspended for several days. This incident was used later in a stimulated recall interview with the principal to discover considerations which went on as this scene

unfolded. A pattern was then built from the considerations.

Mr. Muller stated that he knew that if he dealt with a problem in the corridor (situational factor), that he made bad decisions (past experiences). Dealing with it would also incite others. He also thought that the teacher was more interested in the fact that the suspension was rescinded than in what was in the best interest of the student. He explained to the teacher why he had reinstated the student. The 10 short-range goals he had hoped to achieve were as follows: (a) get the parent off his back, (b) allow the parent to save face, (c) do something to handle the problem, (d) prevent the teacher from circumventing his authority, (e) express to the teacher that he was concerned about her and was empathetic, (f) express to the teacher that he was limited by the system, (g) assure that the student had been admitted, (h) relay to the teacher that this is the procedure anyway, (i) make sure the teacher understands that it is a judgment call on the part of the principal, and (j) teach the teacher that one gets as much as one can. There were no long-range goals verbalized, although the utmost goal for Mr. Muller was always an efficiently running school.

When these considerations were mapped, a more complex cognitive picture than the one of the responder evolved. Short-range goals and past experiences were added as

components. Since there was a strong consideration of short-term goals which did influence interventions, Mr. Muller was noted as having more reflectivity than Ms. Bursinger, but less than the third principal, Mr. MacDonald.

The initiator would have considered all of these things but brought to bear similar experiences and what he learned from them. He would also have focused first and always on student needs. As soon as he made the decision to place the student back in class, he would have taken a proactive stance by notifying the teacher perhaps in person. In character for his style, he would follow guidelines which the council had approved regarding disciplinary matters.

Summary. The depth and complexity of this configuration is richer than the limited configuration illustrated int he Personal Concerns Linear Model of Ms. Bursinger. Using the definition of reflectivity which is characterized by visionary planning, this principal's pattern did reveal reflectivity, but the planning was limited to immediate short-range goals. Because of this, the amount of reflectivity is considered minimal. Since Mr. Muller had been identified as the manager principal, the data show that this manager style principal has minimal reflectivity.

<u>Pierce Elementary</u>

The pattern of reflectivity shown in Mr. MacDonald's cognitive considerations was extremely different from those at the other two sites. Unlike Ms. Bursinger, Mr. MacDonald quickly recognized and chose critical incidents which had occurred during the data collection period. Even though his intervention behaviors appeared innocuous on the surface, interviews revealed that they were deliberate and calculated. Mr. MacDonald used the richness of his past experiences to improve judgment decisions. He was able to cognitively develop meaningful strategies for achieving a vision through reasoned inquiry. Unlike the other two principals, Mr. MacDonald's cognitive pattern revealed complexity in a dynamic configuration with a high cognitive level and strong evidence of strategic maneuvering. There were many examples of this pattern from the data. A typical one was the principal's refusal to meet a district deadline for revised proposals. When he discussed why, he related past experiences he remembered with the district. These included that the district never gave adequate time for completing such tasks, but the district also praised school-based management/shared decision making and thereby provided Mr. MacDonald an avenue for holding them accountable. Mr. MacDonald noted why allowing the council time to review these proposal changes was so critical. Reasons included that the council was still developing a

sense of team, and he wanted to somehow encourage that. He also wanted to show support for the council while supporting the school-based management/shared decision making philosophy. As he discussed similar issues and interventions, he always touched on similar areas and discussed them in a dynamic, interactive manner. Based on the information gathered and the pattern which emerged, the Interactive Mindscape Model as shown in Figure 5.3 was developed to describe the reflectivity exhibited by Mr. MacDonald. Details of this model appear in Appendix G.

Mr. MacDonald's cognitive pattern indicated that a higher order of thinking was being undertaken. He considered past experiences in an organized manner and considered what he learned from those experiences. He also quickly searched his schema to locate situations with similar characteristics and selected elements he had learned from those which had meaning for this situation. Other components of the pattern were consideration of short and long range goals and intervention behaviors. The most significant characteristic of the pattern was not the complexity but the manner in which these elements interplayed until the best scene which pieced these components together could be mentally constructed. Then Mr. Macdonald responded as the behavior in the scene indicated.
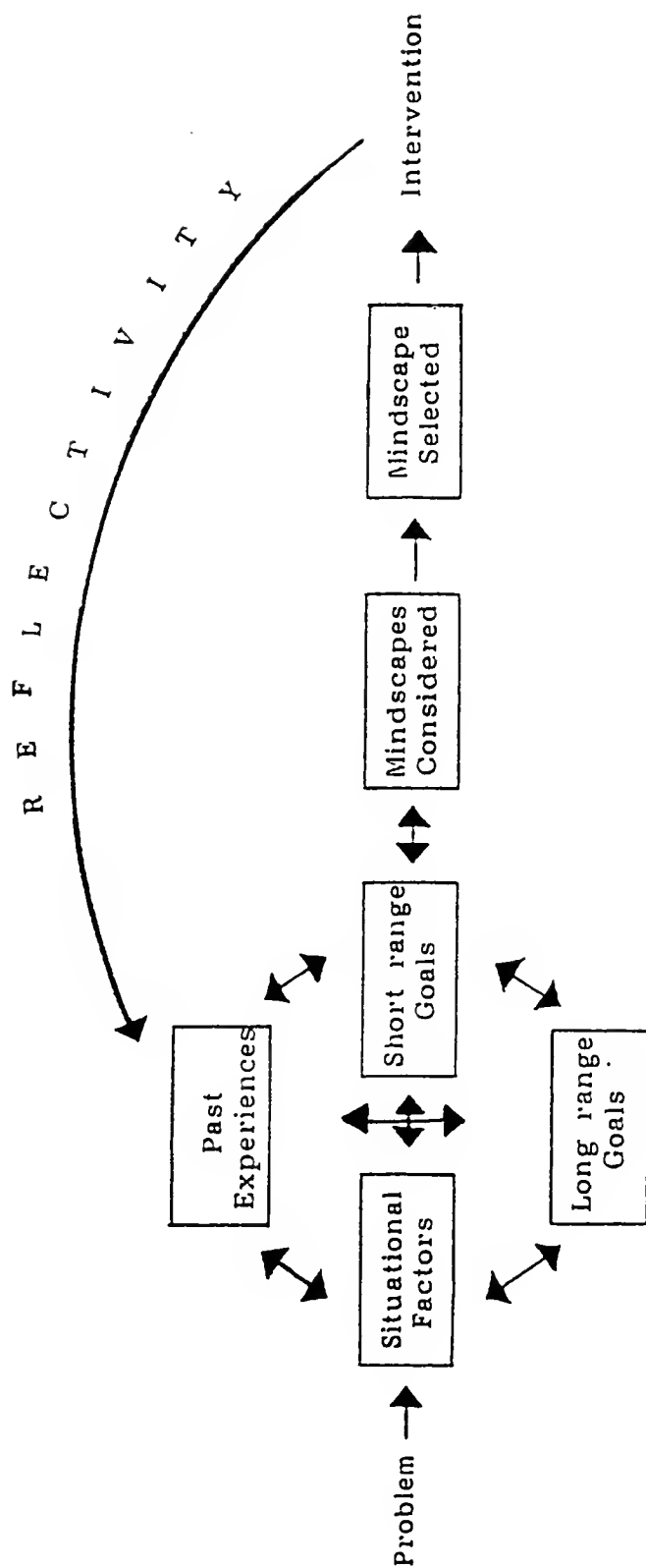
Figure 5.3. Interactive mindscape model.

Mr. MacDonald selected the following incident as one of the most significant ones which had occurred during the day. Using stimulated recall techniques, the incident was discussed.

Critical incident. One of the teachers had mentioned to the principal that she was doing "terrible" because her aide had been out sick for two weeks. The principal reminded her to think about how much she missed the aide when the council voted on the budget and personnel structure for the next year.

Development of the reflectivity pattern around this intervention revealed a well-developed integral pattern. This single intervention was spawned by consideration of five past experiences, four contextual concerns, one immediate result, and two long-range goals. The action was part of a deliberate plan to shape destiny.

The experiences took the form of considering situation, task, action, and result, and an element of reflectivity: what was learned. Mr. MacDonald stated that he learned from past experiences and tried not to repeat mistakes. He stated, "I have not had 20 first years." He claims never to have repeated a mistake. He consciously selectively recalled those experiences which had merit for this incident before he considered his behavior. This parallels Schon's notion of appreciation system and reflection-on-action which the professional uses to "make

sense of practice situations, formulate goals and directions for action, and determine what constitutes acceptable professional conduct" (Schon, 1987, p. 33).

The first of these experiences he recalled regarded a teacher whose performance had been unsatisfactory. He had apprised her of the situation and told her that he was either going to make a good teacher out of her or fire her. For days he had sat in her classroom, providing constant feedback. That was many years ago, and she had developed onto one of the finest teachers on his staff. He had reaffirmed through that experience that you must have high standards and stick to them for the sake of the students.

A second experience dealt with the aides. One of the teachers had hired an aide who turned out to be unsatisfactory. He had fired the aide for the teacher, because the teacher had not reached a point of self-assurance necessary to conduct the activity. His comment about that experience was that the principal must be sensitive to where teacher concerns lie, and that change is a slow process.

The third experience on which he drew was a fight at the council in the beginning of the year when aides were hired. Some of the teachers felt sorry for the Chapter I teachers and felt they too should have aides. If they had received aides, then the fifth grade classes would not have them. That would have meant a teacher of fifth grade would

have had 30 students and no aide. It would also have meant that the students would leave a fourth grade situation with a 1:15 teacher to student ratio and enter a 1:30 situation in grade five. Mr. MacDonald had refused to agree with this request because the purpose in hiring aides was to allow more direct teaching time. The Chapter I classes were already limited to 15 students. He had kept the council focused on the goal and had been able to convince them to vote with him on the issue.

He realized too that some of the staff were fearful because they had never in a position of supervising another staff member. Teaching them and reassuring them had taken time. In the event that one of the aides hired by a teacher was unsatisfactory, he had agreed to fire the aide as a gesture to help the teachers achieve comfort with the newly defined role the innovation had brought.

The last experience that Mr. MacDonald had remembered was that the proposal was his creation. He had written it and carefully engineered and implemented its acceptance. He had learned that he must be actively involved to make sure there is a focus on his vision for the school.

Four categories of contextual concerns surfaced. These were knowledge of change, the history of the school, definition of roles, and awareness of contextual issues which would influence the outcome. The first two of these were not discussed at length by Mr. MacDonald, although he

noted them as influences. The definition of roles emerged as a consideration in achieving the goal. Mr. MacDonald stated that, "The principal is responsible for everything that goes on in the schools; the teacher is responsible for everything that goes on in the classroom." He saw the role of the teacher as teaching children, and his role as making sure the teachers were committed.

The last category of contextual concerns was lengthy and concerned the decision made by the council earlier in the day. Mr. MacDonald knew there was a limited amount of money. He was also aware that voting on personnel, structure, and budget was coming up soon. Some of the teachers had warned him last year to wait until this year and things would be different. The bilingual people would once again fight him on his goal. The librarian, who wanted all of the money which had been allocated for the additional librarian position, would also battle him. The last consideration was that the structure posed the problem: Chapter I ran out in fourth grade and the fifth grade classes were large. Students left small fourth grade classes and were dropped into large, impersonal classes in the fifth grade.

The intervention was calculated to achieve a short-range goal: The council reallocated money from the second assistant principal and extra librarian positions in order to hire personnel to reduce class size in fifth grade. The

intervention was also targeted at moving the school closer to two long-range goals the principal had for the school: (a) to give teachers more direct teaching time and (b) to get all involved in SBM/SDM. Mr. MacDonald said, "As a result of SBM/SDM, we've had more controversy. That's good. All are involved."

When this critical incident was reduced to bits of information and clustered for category and flow, a very different map from those of the responder and manager appears. The mental considerations did not come to Mr. MacDonald in a linear fashion; rather, in a blitzkrieg manner. All of the information was sorted and pieced together in a dynamic interaction. Scenes of mindscapes were built and destroyed until the "best" mindscape was envisioned. This led to the intervention which was then incorporated into an integrated judgment system and became another experience for informing future reflectivity.

During this interview session related to this incident, Mr. MacDonald talked about the Carnegie Report. He said that it was the "handwriting on the wall" and that principals and superintendents needed to "wake up and heed the warning." He saw restructuring as the answer to many of the problems addressed in the report, but also acknowledged that the innovation was only as successful as the leaders who were implementing it. The knowledge base from which Mr. MacDonald drew was apparently broad yet

comprehensive as he analyzed issues within his school and his behavior. He was the only principal who mentioned any professional literature or research. Mr. MacDonald stated that he read a minimum of three professional articles every day. This may have influenced the complexity of his pattern of reflectivity.

Summary. An analysis of Mr. MacDonald's thinking revealed a series of mindscapes, or "road maps through an uncertain world" (Sergiovanni, 1987, pp. xi-xii). Mr. MacDonald described these images in no sequence, but much as one would view a game board by turning over pieces randomly and in a blitzkrieg manner until they fit into a pattern. The entire process took less than a second, and the behavior that the principal displayed was calculated based on the larger perspective he had quickly imagined in a dynamic fashion. Typical of Schon's (1987) on-the-spot informed intuition theory, Mr. MacDonald experienced reflection-in-action. As Schon (1983) discussed, he used "knowledge from science and experience to inform the professional's intuition as professional knowledge is created in use in response to unique practice problems." That behavior was further calculated when Mr. MacDonald's vision for the school was considered and used as a focus for the behavior. This supports Hall's definition of reflectivity as a dynamic linkage of behavior to long-range goals or vision. The principal labeled as having an

initiator change facilitator style in this study revealed a complex pattern with strong linkage to visionary planning, or a high degree of reflectivity.

Summary

The reflective pattern for each principal was unique. The responder pattern revealed weak linkage of interventions to a long-range goal; therefore, limited reflectivity was noted. The cognitive flow was linear and influenced with personal concerns. For these reasons, the personal concerns linear model was developed to explain the cognitive pattern of the responder.

Analysis of the cognitive mapping of the manager's thinking pattern revealed a more complex pattern than that of the responder. There were considerations of past experiences, the situational factor, and numerous short-range goals. Although the thinking was not as linear, it was not extensively dynamic. For these reasons, the short range/past experience model was developed to explain the cognitive pattern of the manager.

The initiator's pattern was markedly different from those of the responder and manager in this study. Analysis of the cognitive map of the initiator's thoughts revealed an interactive imaging characterized by reflectivity. The interactive mindscape model was developed to explain the complex pattern which was evidenced in the thinking of this initiator.

The patterns which emerged in the analysis of reflectivity revealed a consistency with the behavioral patterns for the three styles. Both patterns revealed that the principal at Webster Elementary was a responder, at Haywood the principal was a manager, and at Pierce the principal was an initiator.

Conclusions

The findings can now be directly related to the study questions which guided this investigation. Each of the questions can be answered.

1. Are the principals' interventions linked to broader goals that they have for the school?

Two of the three principals in this study linked their interventions to broader goals they had for the school. The third principal, the responder, revealed little connection between intervention behaviors and short or long range goals.

2. How do intervention behaviors differ among these three principals with different change facilitator styles?

The initiator principal intervened to move his school closer to a vision he had for the school. His interventions were more complex, dealt more often with policy/decision making, and were undertaken to effect change. The element of humor was present with the initiator.

The manager intervened to achieve short-range goals, especially the goal to maintain a smooth-running institution. Analysis of coded interventions revealed that he often shared information, intervened to manage, dealt with people interactively, and targeted his assistant principal as recipient of the interventions. Overall, he had the smallest number of interventions.

The responder interventions were carried out to solve a problem. She often targeted the council in interventions, intervened to build enthusiasm, and dealt with complaints and individuals who impeded use. Further, the majority of the responder's interventions were one way.

3. What are the characteristic elements and patterns of reflectivity in these three principals who employ different change facilitator styles?

The patterns of reflectivity among the three principals studied reveal not only differences in the complexity and depth but in the flow. The responder did not consider short- or long-range goals, but focused on immediate solutions to the problem based on alternatives and personal concerns. The manager focused on short range goals to achieve efficiency in school operation, with limited experience or concerns as considerations. The initiator was very goal oriented, both short and long range, and considered a wealth of experiences and concerns

before strategically intervening to move the school closer to the vision he held for it.

4. Does one particular principal, who exemplifies a given change facilitator style, show more complex reflectivity?

The initiator principal revealed a more complex pattern of reflectivity than the other two principals. For him, the pattern was not linear, but a dynamic movement among past experiences, current situational factors, and short- and long-range goals. The manager principal's reflectivity pattern was more complex than the responder. The manager was concerned with achieving short-range goals. The responder principal's pattern of reflectivity showed limited linking to short- or long-range goals, rather an immediate solution to a problem which surfaced in the day-to-day managing of the school.

Summary

The preceding chapters have established the purpose, design, justification, and findings of this investigation, as well as reviewed relevant literature. Chapter VI contains a discussion of the conclusions and implications of the study.

CHAPTER VI
CONCLUSIONS AND IMPLICATIONS

The purpose of this study was to examine principals' intervention behaviors and related thought processes that occur during implementation of school based management/ shared decision making. This study was conducted to describe and analyze the complexity of considerations and strategies by different change facilitator styles. The investigation also addressed reflectivity among the three change facilitator styles of principals. The foundational studies for this investigation were the research investigations reported by Hall and Hord (1987).

While reflectivity is a term often used in teacher education, there is surprisingly little research on the topic with school principals. The term is just being considered as having relevance in educational leadership, but little research exists which addresses reflectivity as a component in the investigation.

Change Facilitator Styles

This study was a multiple-site case study in an urban area in the southeastern United States which involved three principals who typified designated change facilitator

styles. The schools involved were in the critical phases of implementing a major educational change: school based management/shared decision making. The on-site data collection covered a 10-week period during which each site was visited for five days: two initially, one in the middle, and two at the end of the data collection period. The principals' intervention behaviors were coded and later analyzed both quantitatively and qualitatively to show strategies and linkage to goals. Some of the interventions were selected for stimulated recall interviews at the end of the day. These interviews were tape recorded and later analyzed for complexity of cognitive patterns. These data analyses were later overlaid with the change facilitator style typing to discover similarities or dissimilarities in cognitive patterns, behaviors, and reflectivity.

To assist in focusing the investigation, only one major innovation was investigated. Three subjects provided the data for the study, and they were experienced principals involved in the same change implementation. Only one investigator collected the data. The study was not undertaken to prove that reflectivity was effective; rather to construct a framework to explain reflectivity and interventions of three change facilitator styles. The data findings revealed information about each of the three styles of change facilitators involved in the study.

The Initiator

The initiator principal took the lead in identifying future goals and priorities for the school and for accomplishing them and also intervened to move his school closer to a vision he had for the school. His considerations before interventions were more complex, more often dealt with policy/decision making, and were undertaken to advance the change process. There was an element of humor present in his style which he used as a change strategy.

The Manager

The manager principal anticipated instructional and management needs of the school, planned for them, and intervened to achieve short-range goals. His overriding goal was to maintain a smooth-running institution. Before interventions he considered a few past experiences, some contextual factors, and many short-range goals when he consciously intervened to accomplish change. His behaviors indicated that he often shared information, dealt with people interactively, and targeted his assistant as recipient of the interventions.

The Responder

The responder principal sanctioned the change process and attempted to resolve conflicts when they arose. The responder in this investigation considered what options she had, considered several contextual factors which involved

personal concerns, and selected an option. There was no linkage to other goals apparent in her behaviors or considerations. The responder's interventions were often aimed at the council, conducted to build enthusiasm, and dealt with complaints. The majority of the principal's intervention behaviors were one-way communications.

Reflectivity

This investigator used the definition of <u>reflectivity</u> as "mental consideration which is characterized by a visionary planning perspective and is oriented toward judgment of overall impact." Using this definition of reflectivity to address the process of mental considerations, the researcher found that the cognitive patterns of the three principals revealed that the responder had limited reflectivity in her cognitive pattern. Her thought processes were linear in pattern and very personal. She did, however, behavior in such a way as to indicate that she did reflect on events and behaviors of herself and others. The model developed to explain her intervention behavior based on cognitive mapping was the personal concerns linear model.

Analysis of the manager's cognitive map revealed strategic linkage between the intervention and goals, but the goals were considered short range. His reflectivity showed a more dynamic process than the responder but less

than the initiator. The past experiences/short range model was developed to depict the reflectivity of the manager.

The data analysis of the initiator change facilitator style revealed a dynamic interactive conceptualization of different past experiences, situational factors, and short- and long-range goals. The interactive mindscape model was developed to explain the cognitive map and the complexity of the considerations prior to the principal's change interventions.

The initiator revealed far more reflectivity than the manager. The manager's reflectivity pattern showed more reflectivity than the responder. The responder's pattern showed limited reflectivity as defined in this investigation.

Relationship of Findings to Previous Studies

Research on leadership (Leithwood & Montgomery, 1982) has identified two types of leaders: "typical" and "effective." The effective leaders had clear, long- and short-term goals, and their priorities dealt with the achievement and happiness of students. These leaders maintained a harmonious blend of task and interpersonal relationships, but if the two came into conflict, the task became the dominating concern. High teacher expectations were communicated, and high self-standards for instructional leadership were assumed. Effective principals set specific goals and held staff accountable

for them. They also provided resources, including community and district support, and saw to it that the staff had the necessary knowledge and skills to improve the program. In every sense, the effective principal was proactive. Hall and Hord (1987) identified the initiator as the most effective change facilitator, the manager as the second most effective, and the responder as the least effective.

The findings of this investigation established that the initiator had the most complex pattern of reflectivity, the clearest and most apparent strategic linkage of intervention behaviors to short- and long-term goals, and more interventions dealing with policy/decision making and the change effort. These findings are congruent with the "effective" principal identified by Leithwood and Montgomery (1982), and confirm and extend findings by Hall and Vandenberghe (1988) that successful change implementation is linked to a principal's behavior which pushes teachers but clearly supports them. Characteristic behaviors of the leaders in schools where the innovation took on increasing meaning for all participants included vision building, moral support, and specific coaching.

The findings also support Kitchener and King's (1981) theory of reflectivity. The responder principal behaved in a manner to support that knowledge was absolutely certain. She gained her knowledge by direct observation and via what

the authorities said. She viewed beliefs as a direct reflection of reality; therefore, no justification was necessary. She experienced difficulty responding to questions which involved justification of beliefs.

The manager, however, was further advanced on Kitchener and King's model. He would be classified near state 5 where knowledge is not certain except for personal perspectives within a specific context. His knowledge was gained via evidence and rules of inquiry appropriate for the context. The inquiry for a particular context justified his beliefs.

For the initiator the stage of development on Kitchener and King's model neared stage 7. He was certain that some knowledge claims are better or more complete than others, but all are open to re-evaluation. Synthesis and critical inquiry reveal knowledge. Beliefs are justified based on an integration and evaluation of data, evidence, or opinion. This is consistent with the definition of reflectivity, which placed her in the lower stages on the reflective model. The manager showed more, which placed him in the middle range of the model; and the initiator showed the most, which placed him in the highest stages of reflectivity on the model.

The results of this investigation also support Sergiovanni's (1987) reflective mindscape perspective. The reflective pattern of the initiator in this study displayed

blitzkrieg, comprehensive consideration of factors and goals. His ability to deal with situations with informed judgment was evident. These findings also expand Schon's theory of reflectivity. The appreciation system which Schon described in terms of a designer applies to this inquiry. While each principal has an appreciation system, that of the responder and the manager is still incomplete, whereas that of the initiator is fare more complete. Just as the designer spins "a web of moves, consequences, implications, appreciations, and further moves" (Schon, 1983, p. 94), so the initiator considers, plans, and analyzes based on his appreciation system, until just the best "web," or strategic plan, is woven. The designer considers both the branching of the web and the complexity of the whole at once. In a similar way, the initiator moves from the part to the whole with lightning-like reciprocity, judging each move in relationship to as well as independently of the unity. Both designer and initiator are aware of what can or might happen, and of what must happen. There is a recognition of freedom with an awareness of the consequences of choice. Just as the design artist uses each move as a local experiment which helps him reframe the problem, so the initiator considers each picture as it passes before him until the frame with the greatest clarity and focus appears. The initiator has

many more frames on which to draw in solving problems or
dealing with issues.

The initiator, as the designer, converses with the
situation in a dynamic manner. In the course of reflective
conversation with the situation, a web is carefully built.
Each action is evaluated from multiple perspectives which
involve shifts from involvement to detachment, freedom to
responsibility, and experimentation to commitment. The
mindscape for both the initiator and designer is
constructed based on priorities. The process is
characterized by inquiry.

Schon's advocacy of coaching could solve the dilemma
of how to teach responders to be managers and how to teach
managers to be initiators. Schon (1987) recommended
dialogue between the coach and the student so that
reflection-in-action becomes reciprocal. The coach and the
student dialogue so well that one can finish the sentence
the other starts. This dialogue produces successful growth
in the student. In this investigation, the manager
appeared to learn the most from dialogue with the
researcher. He would often say, "Now that I have thought
through that situation, I would handle it differently next
time." The forced recall caused him to reflect-on-action
and to incorporate understandings into his appreciation
system. The manager revealed the greatest potential to
grow in his ability to become a more successful change

facilitator. Support for this is also found in Vaughan's theories. Vaughan's (1988) contention that reflective practice denotes "reasoned vision and meaningful strategies in pursuing improvements" is found in the reflective pattern of the initiator in this study.

These findings also support Piaget's theory (1973) that past experiences can improve judgment decisions; however, other factors are also important. All of the principals in this inquiry had past experiences but did not use them in the same way. The initiator viewed a series of changing mindscapes with numerous factors interplaying. These factors included past experiences which had yielded a reflective "lesson." The initiator's judgments reflected the closest approximation to constructed reality which resulted from reasoned inquiry.

The patterns of mental considerations of the initiator in this study support Schon's (1983) theory that spontaneous, intuitive performance of day-to-day events or reflection-in-action is a more complete method of reflection. The initiator had learned to engage in reflection to deal with the situations Sergiovanni (1987) referred to as uncertain, unstable, complex, and varied. Since the initiator revealed the most reflectivity as defined in this investigation, there is an indication that the initiator, the most effective change facilitator style, also uses the highest amount of reflectivity.

Hall, Rutherford, and Griffin (1982) identified the manager as the second most effective change facilitator. This investigation revealed that the manager principal in this study displayed apparent linkage between his interventions and short-range goals, a characteristic of effective principals, but no clearly-defined long-range goals. He often shared information and dealt with people interactively but closely monitored those to whom he had delegated to assure task completion. Analysis of his considerations reinforced the manager's lack of strategic linkage to a vision. This investigation provides indication that the manager shows less reflectivity in his behaviors than the initiator.

The least effective change facilitator style, according to Hall and Hord (1987), is the responder style. In terms of information on effective leaders (Leithwood & Montgomery, 1982), concerns of effective principals were the cognitive growth of children, instructional intervention, resource support, and high expectations and accountability of staff. With a technical focus, the responder in this study undertook interventions to solve a problem. Considerations which accompanied these behaviors revealed that she considered options, considered personal concerns, and selected an option. There was no apparent linkage to goals or a vision. Many of the intervention behaviors were conducted in reaction to problems or

situations. Most of the behaviors involved one-way communication. This investigation provides indications that the responder uses the least amount of reflectivity in her interventions.

There are also indications that the most effective change facilitator style, the initiator, also has the most comprehensive knowledge base from which to draw. It also appears that the initiator has the most comprehensive appreciation system. Even so, the results of this investigation indicate that the manager may show promise in being able to learn knowledge, skills, and reflectivity in leadership.

Implications for Researchers on Leadership

The area of reflectivity in educational leadership is relatively unexplored. Based on the findings and conclusions of this study, the following observations seem appropriate.

First, the findings extend the body of knowledge in reflective leadership. Indications that the most effective change facilitator is one who has the most complex reflectivity have significance in the areas of leadership, cognition, change, and reflectivity. At a time when change implementation and restructuring schools are paramount in education, understanding the thinking patterns of initiators could assist successful change implementation.

Educational innovations could be implemented more successfully using these data results.

Second, this investigation launches new inquiries into the study of reflective leadership. Reflectivity is no longer a term which has implications solely for teachers. This study links the most effective change facilitator principal, the initiator, to complex reflective patterns. The varied mindscapes and past experiences, as well as a dynamic consideration of short- and long-range goals, have implications for leadership as well.

Third, these findings lend credibility to theories of reflectivity by Schon (1983) and Sergiovanni (1987) which have not previously been investigated. Sergiovanni's fourth mindscape, that of reflective practice, now has support for its promise of effectiveness.

Lastly, this study at least implies that the manager is able to benefit and grow in the reflectivity process by feedback. Further research needs to be conducted in this area.

Implications for Practitioners

The findings from this investigation may be of use to practitioners in the field of education as well. Four applications are indicated.

First, the selection of principals for effective change implementation may be more clearly delineated. If initiator principals have more dynamic patterns of

reflectivity, as this study indicates, then tapping that dimension in selecting principals seems necessary.

Second, educating current principals may take new directions to include the realm of reflectivity. At a time when many systems are focusing on the technical skills leaders should have, perhaps a reflection of the selection process should occur. If school improvement is to occur, then change must occur. Since school improvement is contingent ont he skills of the leader, then knowledge about those skills should be incorporated into the selection process. The findings of this study indicate that the most successful change facilitator is one who has a complex pattern of reflectivity. To nurture change, training of leaders in this dimension should be productive. This study endorses the reflective paradigm as one of the components in selecting effective leaders.

Third, institutions of higher education may incorporate study findings into the alteration of their leadership training courses. Since these institutions serve as the guardians of the greater perspective, then they must be sensitive to new directions in leadership research. The findings from this study would indicate that inclusion of reflectivity in leadership programs might enhance school improvement efforts.

Recommendations for Further Research

Based on the findings and conclusions of this study, the following suggestions and recommendations for further research are made.

1. An investigation of external support for innovations in relationship to the change facilitator style at the local level could extend knowledge of how and why change occurs. Hall and Vandenberghe (1988) pointed to this need also.

2. An evaluation of the innovation at the end of the third year could extend the findings of this study and add knowledge to the long-term success of implementation by the three different change facilitator styles. Current formative evaluations do not have the advantages of the assessment focus of a summative evaluation. If research trends are similar at the end of the third year of implementation when the summative evaluation is conducted, then further support for the role of reflectivity in school improvement is provided.

3. Extensive investigation which focuses on the reflectivity patterns of initiators could support and extend these findings and lend greater knowledge to the building of mindscapes when principals are faced with leadership ambiguities. Indications are provided, but further focused inquiry on initiators and the role of

reflectivity in their leadership style could offer support for hypotheses generation and testing.

4. These findings could have tremendous implications for manager style principals. These results indicate that manager principals most benefited from forced dialogue about their behaviors. This finding needs to be pursued further. Dialogue and a program similar to the reflectivity component of some teacher education programs could catapult managers into the initiator range. Written reflectivity, a process which was not used in this study, could also have positive results.

5. The concepts of reflectivity and how behaviors are linked to a vision for the educational setting need to be explored further to enhance current knowledge of how school improvement occurs. This investigation revealed that those behaviors are linked strategically in a dynamic sense, but further inquiry could clarify the linkage process.

6. This study might be used as a base for generating and testing hypotheses in leadership, change, and reflectivity. Implications are that the three areas are meaningfully linked. Hypotheses generation and testing could now occur in these areas.

7. Knowledge of how principals form and use a change facilitating team to effect meaningful change is an area that could offer new insights into successful implementation. Hall and Vandenberghe (1988) indicated

this as a future need. Although this investigation did not address the facilitating team, the innovation which formed the context for the study provides an ideal context for such an examination.

8. A pressing need is identified for teacher educators to look at these results and assess applicability to teacher education models. Further research could reveal that teachers who are the most effective at implementing change also reveal the dynamic pattern of reflectivity which the initiator displayed. Research could lead to identifying those teachers similar to managers and educating them in reflective thought processes to improve their effectiveness in implementing change. Much more research is needed in this area, but indications from this study provide a note of the importance of further research with this focus.

9. Consideration of the quality of the components of the cognitive structure would have greatly enhanced this investigation. Data analysis using Ross's (1987) definition of reflectivity which included the content of the components and the attitudes of the actor would have brought forth a greater understanding of reflectivity. The issues with which the responder dealt were very technical, whereas those for the initiator were highly cognitive. Mr. MacDonald often reflected and intervened on a high cognitive plane, much as Van Manen (1977) described

reflection characterized by moral and ethical criteria into practical action. Ms. Bursinger behaved in a manner similar to Van Manen's technical rationality in that her focus was day-to-day. These themes were not, however, developed within this investigation.

10. For too long, the fields of educational administration and teaching have been viewed as separate fields. This researcher selected a term which is currently being used in teacher education, reflectivity, and applied it to educational administration. In similar ways, teachers and principals are leaders. As such, they must solve problems and create destiny. The results of this study indicate that the most reflective principals are also the most effective at implementing change. If future research results were to indicate that this was also valid for teachers, then the two fields would have a commonality. In implementation of educational innovations such as school-based management/shared decision making, a commonality of thought processes could enhance successful change.

Summary

The results of this investigation may be directly applied to knowledge and theory in the areas of educational leadership, cognition, change, and reflectivity. The research community and practitioners are offered novel ways of viewing the place of reflectivity in educational change.

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APPENDIX A
INFORMED CONSENT LETTER

Dear:

You have been nominated by your district as a subject for a study of principals who are in the process of implementing school-based management. This study could have a major impact on professional administrators' development.

As researchers from the University of Florida, we would visit your school for two days between March 7-18, one day the week of April 4-8, and two days during the week of May 2-13. During that time, we would shadow you and visit with two or three members of your staff whom you select (preferably teacher leaders). Near the end of each of those days, we would interview you and discuss selected actions with you to try to construct what thoughts went on before the action. Then, once each week in-between visits, we would call you to keep abreast of current events in your leadership role.

If at any time you have questions concerning this study, either of us will be pleased to answer them. Your answers and those of your staff will be held in strictest confidence. To assure anonymity, your name will not be entered in the data set; rather, a code number will be used. In our published reports, no reference will be made specifically to you, your school, or your district.

Thank you for your help at a very busy time. Unfortunately, you will receive no monetary compensation for participation in this study. If at any time you wish to withdraw from the study, you may do so without prejudice.

We appreciate your efforts. Your contributions will greatly enhance the profession of educational leadership.

Sincerely,

Gene Hall, Ph.D.
Director, Research and Development
Center for School Improvement

Sheila B. Bridges, Ed.S.
Researcher

I have read and I understand the procedure described above. I agree to participate in the procedure and I have received a copy of this description.

_____   _____
Subject   Date

APPENDIX B
INTERVENTION CODING FORM

Site ____ Intervention ____

I. Identifiers

Date of Interview __/__/__ Person Interviewed _____

II. Brief Statement of Intervention: _____

_____

_____

_____

III. Intervention Level

A. Coding for Incident or Tactic Level

Sublevel Source Target Function Medium Flow Location

0 _ _   1 _ _   2 _ _ 3 _ _   4 _ _   5 _ _ 6 _ _

B. Coding for Strategy Level

Source   Target   Function

___   ___   ___

Notes: _____

_____

_____

_____

SUBLEVEL
- 010 Isolated
- 020 Simple
- 030 Complex
- 040 Chain
- 050 Repeated
- 090 Other

SOURCES
- 101 Students
- 110 An individual user
- 120 Subsets of primary or potential users
- 121 . . .as individuals
- 122 . . .as groups
- 123 . . .as whole set
- 130 All primary/potential users
- 131 . . .as individuals
- 132 . . .as groups
- 133 . . .as whole set
- 140 Implementation Site Resource People
- 141 . . .resource teacher
- 142 . . .school librarian
- 149 . . .other
- 150 Implementation Site Personnel with direct authority/responsibility
- 151 . . .principal
- 152 . . .assistant principal
- 153 . . .council member
- 159 . . .other
- 160 External Innovation Facilitators
- 170 Immediate User System Personnel
- 171 . . .school board
- 172 . . .superintendent
- 173 . . .assistant superintendent

TARGETS
- 201 Students
- 210 Subset of primary or potential users
- 221 . . .as individuals
- 222 . . .as groups
- 223 . . .as a whole set
- 230 All primary/potential users
- 231 . . .as individuals
- 232 . . .as groups
- 233 . . .as whole
- 240 Implementation Site Resource People
- 241 . . .resource teacher
- 242 . . .school librarian
- 249 . . .other
- 250 Implementation Site Personnel with direct authority/responsibility
- 251 . . .principal
- 252 . . .assistant principal
- 253 project leader
- 259 . . .other
- 260 External Innovation Facilitators
- 270 Immediate User System Personnel
- 271 . . .school board
- 272 . . .superintendent
- 273 . . .assistant superintendent
- 274 . . .director
- 275 . . .evaluator
- 276 . . .innovation facilitator
- 279 . . .other
- 280 Extended User System Members

174 . . .director
175 . . .evaluator

179 . . .other
180 Extended User System
Members
181 . . .parent
182 . . .external consultant
183 . . .state education agency
184 . . .policy maker
185 . . .special interest
representative
189 . . .other
190 Events
195 Other Sources

FUNCTIONS
310 Developing Supportive
Organizational Arrangements
and Resources
311 . . .policy/global rule/
major decision making
312 . . .planning and preparing
313 . . .managing
314 . . .staffing or
restructuring roles
315 . . .seeking or providing
materials
319 . . .other
330 Consulting and Reinforcing
331 . . .promoting and
encouraging change in use
332 . . .reinforcing/supporting
present use
333 . . .consulting, problem
solving
334 . . .sharing information
339 . . .other
340 Monitoring and Evaluating
341 . . .information gathering
342 . . .data analysis/
processing
343 . . .reporting, sharing
assessments
349 . . .other
350 Communicating Externally
351 . . .informing outsiders
359 . . .other
360 Expressing and Responding
to Concerns
361 . . .complimenting, praising

281 . . .parent
282 . . .external
consultant
283 . . .state education
agency
284 . . .policy maker
285 . . .special interest
representative
289 . . .other
290 Change effort/process
295 Other targets

FLOW
510 One way
520 Interactive
530 None
590 Other flow

LOCATION
610 Implementation Site
611 . . .school office
612 . . .principal's office
613 . . .teacher's lounge
614 . . .resource room
615 . . .school library
616 . . .classroom
617 . . .playground
618 . . .parking lot
619 . . .council site
620 Immediate User System
621 . . .district office
622 . . .training site
629 . . .other
630 Extended User System
631 . . .conference site
632 . . .intermediate unit
633 . . .state education
agency
634 . . .national
government office
639 . . .other
690 Other Location

362 . . .enthusiasm and interest
     building
363 . . .joking, fooling around
364 . . .apologizing
365 . . .peacemaking, reconciling,
     reassuring
366 . . .complaining, criticizing
367 . . .belittling, sarcasm
369 . . .other
370 Impeding Use
371 . . .discouraging use
372 . . .interrupting use
379 . . .other
390 Other Function

MEDIUM
410 Face-to-Face
420 Written
430 Audio-visual
440 Telephone
450 Public Media
460 None
490 Other medium

APPENDIX D
SAMPLE INCIDENTS: WEBSTER ELEMENTARY

Tactic: Principal seizes spur-of-the-moment opportunities to spotlight others.

Incident: Principal whispers to assistant principal to ask the teacher test coordinator about the practice test.

Incident: Principal whispers to teacher at faculty meeting to tell faculty they will be released early on Tuesday to make up for the faculty meeting time on Wednesday.

Tactic: Principal plans opportunities in advance.

Incident: Principal asks teacher to organize talent show.

Incident: Principal asks aide to plan and implement a film fest the last day of school.

Tactic: Principal gives council information they need to discuss issues.

Incident: Principal passes out chart of objectives for science to group.

Incident: Principal explains audit process.

Incident: Principal explains to council and to parents the extensive objectives for science.

Tactic: Principal sets up leadership opportunities.

Incident: Principal asks council to go back to groups and find out what organizational structure they want for next year.

Incident: Principal calls in assistant principal and has council rehearse an issue.

Incident: Principal suggests council members present project and remind the groups of mandates.

Tactic: Principal meets informally one-on-one with users.

Incident: Principal encourages teacher to go to workshop.

Incident: Principal meets with teacher to get SAT update.

Incident: Principal shares workshop information with a teacher.

Incident: Three teachers ask principal if they can go to workshop.

Incident: Teacher suggests trading science sink for money to use for science equipment.

Incident: Principal talks to teacher about attending a conference and asks her to give a mini-workshop to staff upon return.

Incident: Principal asks new secretary to solve problem.

Incident: Principal praises a teacher aide.

Incident: Principal compliments teacher on taking charge of SAT testing.

Incident: Principal shares budget problem with staff members in office.

Incident: Principal encourages science teacher to make picture of science display.

Incident: Principal shares information about workshops with teachers.

Incident: Principal encourages teacher to change the date for art show so she can take advantage of workshop.

Tactic: Principal holds meeting to collectively inform.

Incident: Principal meets with a team who has bee studying quality circles and a community expert who wants to teach faculty how to do this.

Incident: Teacher presenting testing information to staff.

Tactic: Principal allows council members to assume responsibility.

Incident: Council decides report card procedure for end of year.

Incident: Principal asks for input on May Day.

Incident: Principals asks what each group member would like to volunteer to do.

Tactic: Principal helps teachers and students problem solve.

Incident: Principal says she wants input on science decision from all groups including a note to parents for their input.

Incident: Principal suggests students brainstorm science questions as basis for curriculum.

Incidents that do not form tactic or strategies:

Incident: Teacher asks principal if parents have been notified of staffing. Principal adopts a "wait and see" attitude.

Incident: Principal goes to teachers for information regarding receiving school schedules.

Incident: Principal tells council that trading sink for science lab would require schoolwide approval and submission as change to proposal. Proposal change must be in tomorrow and she had already written it, so it could not be done.

Incident: Principal stopped brainstorming of council and redirected conversation.

Incident: Principal hires parents to hourly security positions.

Incident: Principal interrupts teacher who is in confrontational mode with parent at council meeting.

Incident: Principal tells special education teacher that she wants him to take group of 10 students on reward trip to another state.

Incident: Principal writes staff bulletin.

Incident: Principal visits each classroom and disrupts the class to greet the children.

Incident: Principal schedules peer counselors' program.

Incident: Principal steps into class where children are noisy and quiets the students.

Incident: Principal stops students in hall who were tardy and writes them a pass.

Sample of Negative Incidents:

Tactic: Principal pulls teachers out at any time without prior notice.

> Incident: Principal greets teacher then orders her to drop everything and go to a meeting at the district office in 30 minutes.

> Incident: Principal forgets scheduled inservice, pulls two teachers unexpectedly to go.

Tactic: Principal orders others to do things.

> Incident: Principal remembers the school has not met deadline for copying and returning video. Tells media specialist to do it immediately.

> Incident: Principal pulls aside teacher and tells her to get students quiet in lunchroom when parent came in to check.

> Incident: Principal orders teacher to notify district of enrollment figures.

> Incident: Principal tells cafeteria staff to pick up cigarette butts after smoking.

Tactic: Complaints which indicate growing negative attitudes.

> Incident: Teachers complain that they weren't consulted when another teacher left the building. Now they must teach her students.

> Incident: Teacher tells principal that she can't accept an issue which has arisen regarding the budget

(no one monitored the budget and she must now pay $600 from her check to a consultant).

Incident: Teacher tells council she has not received any information the entire year from council (did not know what the council was about).

Incident: Principal complains to secretary that she did not correctly process an important memo from district office.

Incident: Teacher walks into office, interrupts principal and another teacher in the midst of a conversation. The teacher interrupted waits her turn again, but it never comes. She leaves.

Incident: Teacher disagrees with the principal over district policy.

Incident: Council members complain that the chair failed to pass on pertinent information to them.

Incident: Teacher complains to principal that they waited for 15 minutes before school to be seen by principal and the door was closed.

Incident: Principal tells council chair to write an agenda. He replies that he does not know what to put on it.

Incident: Principal informs a group of parents she has tried unsuccessfully to get a magazine published which would inform parents about magnate school offerings.

Incident: Principal calls assistant superintendent and complains that magnet students are selected on basis of race, not talent.

APPENDIX E
SAMPLE INCIDENTS: HAYWOOD ELEMENTARY

STRATEGY 1: Principal works with council to develop
             leadership

Tactic: Principal keeps group focused on responsibilities.

    Incident: When teachers want custodians to clean
    graffiti, principal calls attention to fact that
    things will have to give (reality of negotiated time)

    Incident: When principal hands out a memorandum from
    superintendent and teacher begins to digress, he cuts
    her off and tells her to read it first.

    Incident: Principal submits to council for approval
    changes to proposal for next year.

Tactic: Principal builds broader picture for council.

    Incident: Principal interrupts group to question
    survey item and possible consequence.

    Incident: Principal tells staff parents may help
    select the next principal of the school.

Tactic: Principal assumes a supportive role for current
leadership practices being exercised by council members.

    Incident: Principal meets with council chair to
    finalize inservice for end of year.

    Incident: Teacher shares dropout prevention plan for
    next year with council.

    Incident: Principal suggests using office staff to
    add coverage during testing.

    Incident: Chair discusses behavior modification
    change with principal.

Tactic: Principal encourages training opportunities.

Incident: Principal suggest inservicing new committee members to council.

STRATEGY 2: Principal assumes a supportive role with individual users relative to the innovation.

Tactic: Principal helps teachers and students problem solve.

Incident: Principal consults with visiting teacher over a problem and supports her decision.

Incident: Principal refers call to counselors.

Incident: Principal backs out of discussion and allows teacher and student to problem solve and exchange information.

Incident: Principal sends parent to see teacher about luncheon.

Incident: principal explains to teacher why he reinstated student.

Tactic: Principal encourages assistant principal to assume leadership.

Incident: Principal asks assistant principal to do announcements.

Incident: Assistant principal consults principal regarding an ineffective aide.

Incident: Principal asks assistant principal for input on marginal teacher.

Incident: Principal encourages assistant principal to make operational decisions about next year.

Incident: Principal encourages assistant principal to talk to the teachers about scheduling.

STRATEGY 3: Principal works with individual users to keep them informed of how change effort impacts their lives.

Tactic: Principal meetings informally one-on-one with users.

Incident: Principal begins confrontation with teacher by calling her Mrs. Martin, moves conversation to office and calls her Susan, ends conference by calling her Susie.

Incident: Principal relays district policy regarding student behavior to teacher.

Incident: Principal moves confrontation between parent and student to the office.

Incident: Principal moves conversation with student to his office.

Incident: Principal meets with parent regarding constitution event.

Incident: Principal tells assistant principal he can't deal with "I'm afraid" on the part of a professional.

Incident: Principal goes through board policy explanation with assistant principal regarding student who was reinstated.

Incident: Principal shares council discussion regarding custodial work with head custodian.

STRATEGY 4: Principal deals with personnel matters which he perceived council interference would violate confidentiality.

Tactic: Principal makes decisions without teacher interaction.

Incident: Principal refuses to move teacher who has requested move.

Incident: Principal moves another teacher who has requested move.

Incident: principal refuses to move elderly teacher.

Incident: Principal decides that if enrollment goes up enough to get second assistant principal, he will hire lead teacher, not assistant.

Tactic: Principal makes decisions with teacher interaction.

Incident: Principal agrees for teacher who has
developed dropout prevention program to be
implemented next year to move to another school.

Incident: Teacher requests transfer to another
school, then voices concern that principal will
allow her to move.

Incidents that are not connected:

Principal agrees for assistant principal to attend
meeting where log of SBM/SDM for year will be
discussed.

Principal attends district meeting so that he can
have input in district on dropout prevention
program.

Principal does not declare school vacancy he has
because he is trying to get rid of a teacher.

APPENDIX F
SAMPLE INCIDENTS: PIERCE ELEMENTARY

STRATEGY 1: Principal assumes a supportive role with
individual users.

Tactic: Principal helps teachers and students to problem
solve.

>   Incident: Principal and guidance counselor consult
>   on psychiatric evaluation situation and how to resolve
>   problem.
>
>   Incident: Principal fires aide at teacher's request.
>
>   Incident: Principal allows counselor to discuss child
>   study team problem with other for input.
>
>   Incident: Principal reminds students of the rules
>   they institute for themselves.
>
>   Incident: Counselor suggests to principal to use
>   fourth graders to set up for the fifth grade awards
>   so they will have an ideas next year of what is going
>   on.

Tactic: Principal assists teachers in dealing with
students or parents upon request.

>   Incident: Principal meets with teacher and four
>   students to deal with a disciplinary matter.
>
>   Incident: Principal suspends student who failed to
>   serve cafeteria detention.
>
>   Incident: Principal supports teacher in discipline
>   decision.
>
>   Incident: Principal meets with counselor and parent
>   for child study meeting.

Incident: Teacher meets with principal and tells him that she has called a student's father. The student was absent and she was informing parent.

Incident: Principal responds immediately to a kindergarten teacher who is having a crisis with a student.

Incident: Physical education teacher requests skating party for students as assertive discipline reward.

Incident: Teacher wants to meet with parents of borderline student and wants principal to meet with her to "scare" the parents.

Incident: Visiting teacher updates principal on student's home condition. Principal agrees with her plan and suggest most appropriate time for the home visit.

Incident: Principal places deviant student on work detail at teacher's request.

Incident: Principal allows teacher to deal with parent of hyperactive, undisciplined, disobedient child as he meets with them.

Tactic: Principal encourages teachers and students to assume responsibility.

Incident: Teacher hires her mother, a retired teacher, as her aide.

Incident: Computer teacher volunteers to preview videos before they are shown.

Incident: Students help develop assertive discipline rules.

Incident: Principal sends tape on asbestos to computer teacher to preview before showing it to staff.

STRATEGY 2: Principal assumes a supportive role in council meetings.

Tactic: Principal allows council to make policy and decisions with minimal input.

Incident: Principal and a council member get in a heated debate over policy. Chair stops them, aborts conversation, and continues with meeting.

Incident: Teacher proposed to council that a plaque and library name be devoted to former teacher who died.

Incident: Council develops discipline plan for cafeteria.

Incident: Council plans on cashing in an extra librarian and an extra assistant principal position in the fall if projected FTE is achieved.

Incident: Council votes to reduce fifth grade size.

Incident: Decision that both current and out-going members of the council will be at next meeting.

Tactic: Principal encourages restructuring of organization.

Incident: Principal gladly gives up right of veto on council.

Incident: Proposal states that only educational decisions are shared.

Incident: Teachers write job descriptions, interview, and hire their own aides.

STRATEGY 3: Principal takes advantage of district opportunities to strengthen district commitment to innovation.

Tactic: Principal facilitates faculty attendance at district workshop.

Incident: Principal approves counselor's request to attend conference.

Incident: Principal, council president, and two teachers attend conference dealing with implementation of innovation.

Tactic: Principal holds district accountable on policy.

Incident: Principal refuses to succumb to district pressure to staff a student into a part-time program for the handicapped when a full-time placement is needed.

Incident: Principal does not respond to district mandate regarding proposal changes until the full council has seen it and had an opportunity for input.

STRATEGY 4: Principal uses bureaucracy to school's advantage.

Tactic: Principal restructures school organization.

Incident: Principal submits amended proposal to council.

Incident: Principal reminds council that they do not have to be railroaded by himself.

Incident: Principal's proposal eliminates all cooperative programs.

Incident: Principal transfers a teacher into the school who is being surplused a week before the end of school to prevent the board from surplusing her.

STRATEGY 5: Principal uses humor in leadership.

Tactic: Principal uses humor in school matters.

Incident: Teacher requests form from principal. She asks him when it is due, and he tells her it was due two minutes ago.

Incident: Principal tells teacher if she would quit running off her aides, she would have one now.

Incident: When teacher rejects summer employment offer, principal tells her that he is going to call her mother and tell her that she has refused money.

Incident: Staff teases principal that the council is pushing for a woman to be chair.

STRATEGY 6: Principal operates in a manner that is consistent with council policy.

Tactic: Principal deals with matters in a manner which is consistent with council policy.

Incident: Principal suspends student until parent comes in.

Incident: Principal praises emotionally handicapped student for having completed his work.

Incident: Parents are sent to see a teacher when they protested a cafeteria incident.

Incident: Principal will not talk with a parent who has a complaint against a teacher without the teacher present.

Incident: Principal purchases computers from construction fund money.

Incident: Principal holds aides accountable for clerical duties done by aides.

STRATEGY 7: Principal works with individual users to inform them of how change effort impacts them and to individually inform/support them regarding use of the innovation.

Tactic: Principal meets informally one-on-one with users.

Incident: Principal asks teacher how she is doing. Principal then reminds her to think about how much she misses her aide when the council vote comes up.

Incident: Principal discusses logistics of fifth grade awards assembly with head custodian.

Incident: Principal goes to each council member separately to lobby for passage of the changes to their proposal.

Incident: Principal reminds his secretary that he does not deal with students involved in cafeteria disciplinary actions.

Incidents that do not form tactics or strategies:

Incident: Principal tries to get parents involved in school.

Incident: Teachers reject peer evaluation and principal does not overrule.

Incident: Teacher refuses to work through a discipline problem with guidance counselor, so principal holds him accountable and begins counseling with teacher.

APPENDIX G
SAMPLE REFLECTIVITY PATTERNS

Webster Elementary

PERSONAL CONCERNS LINEAR MODEL

OPTIONS

X = Send home new schedules for students to complete

Y = Call all students to cafeteria now and have then re-do schedules to the best of their memories

Z = Ask two or three students what they chose and ask them if they know what the other students had selected

"ME-FOCUSED" CONCERNS

1. Teachers need to straighten out their messes - not me

2. Every negative thing that happens is bad for our image--it always comes back to me saying, "I don't know how to handle this!"

3. I don't like to be found fault with. It was the guidance counselor's fault but it looks like mine.

OPTION SELECTED

Call all students to the cafeteria now and have them re-do schedules to the best of their memory.

INTERVENTION

Students are called to the cafeteria.

<u>Haywood Elementary</u>

SHORT-RANGE GOALS MODEL

<u>PAST EXPERIENCE</u>

Made bad decisions in the past in the corridor

<u>SITUATIONAL FACTOR</u>

Setting was the corridor

<u>SHORT-RANGE GOALS</u>

A = Get parent off principal's back

B = Allow parent to save face

C = Do something to handle the problem

D = Prevent teacher from circumventing principal's authority

E = Express to the teacher that the principal was concerned about her

F = Express that the principal was limited by the system

G = Ensure that the student was admitted to class

H = Relay to the teacher that this is procedure anyway

I = Make sure the teacher understands it was a judgment call on the part of the principal

J = Teach the teacher that one gets as much as one can

<u>INTERVENTION</u>

Put student in class--discuss with the teacher

<u>Pierce Elementary</u>

INTERACTIVE MINDSCAPE MODEL

The past experiences took the form of the STAR pattern
(Situation, Task to be completed, Action to be taken,
Result) with an added component: a moral, or lesson. here
the final component is labeled RR for Reflectivity about
the experience.

PAST EXPERIENCES

A. S = teacher's performance was unsatisfactory
    T = improve teacher's performance
    A = principal sat in teacher's classroom for a month
         giving her constant feedback
    R = teacher developed into excellent teacher
    RR = you must have high standards and stick to them

B. S = teacher hired aide who turned out to be
         unsatisfactory
    T = dismiss aide
    A = principal dismissed aide
    R = teacher could hire anyone she chose
    RR = teacher did not have enough confidence to dismiss.
         Principal must address teachers where their
         concerns lie and change is slow process.

C. S = aides were to be hired and some faculty members
         were lobbying for Chapter I aides too
    T = Council was to decide who should get aides
    A = keep council focused on goals
    R = Chapter I did not get aides
    RR = Must keep group focused on long-range goals/
         visions

D. S = teachers were fearful to supervise aides
    T = make staff confident to supervise
    A = reassuring, agreeing to dismiss aides for teachers
         if aide did not work out
    R = staff growing more confident with supervision
    RR = teaching and reassuring takes time

E. S = SBM/SDM was voted in
    T = proposal had to be written
    A = principal wrote proposal
    R = proposal reflected principal's vision
    RR = must be actively involved in major issues to make
         a difference

<u>CONTEXTUAL FACTORS</u>

1. Knowledge of change

2. History of school

3. Definition of roles

4. Awareness of contextual issues
    - limited amount of money
    - council vote coming up soon
    - warning from teachers from last year that they will get even
    - bilingual people would fight
    - librarian who wanted all the money would battle
    - structure posed a problem (Chapter I ran out in fourth grade and the fifth grade was large)

<u>SHORT-RANGE GOAL</u>

Council reallocate money given to school for second assistant principal and second librarian.

<u>LONG-RANGE GOAL</u>

1. Give teachers more teaching time

2. Get all involved in SBM/SDM.

<u>INTERVENTION</u>

Principal reminded teacher to think about how much she missed the aide when allocation came up for a vote at the next council meeting.

BIOGRAPHICAL SKETCH

Sheila Blanton Bridges was born in Sylva, North

Carolina, on September 8, 1948, to Mary Cope Blanton and

the late Von L. Blanton. She graduated from Sylva-Webster

High School, Sylva, North Carolina. She completed

requirements for the Bachelor of Arts degree with a major

in English in December, 1969. She spent a year working

with the North Carolina Department of Social Services in

Morganton, North Carolina, before attending and graduating

from Florida State University in 1972 in the field of

sociology. Afterwards, she worked for three years as a

psychiatric social worker at Northeast Florida State

Hospital. At the end of that time, she decided to enter

the field of education and become a high school English

teacher in Orange Park, Florida. She continued in that

field for 12 years, then enrolled in the doctoral program

at the University of Florida and began studying educational

leadership. While there, she became a member of the

Beginning Principal Study through the R&D Center for School

Improvement. She also received a graduate assistantship

with the Teacher Education Center in the Office of Extended

Services at the University. After a year of full-time studies, she accepted employment in New York as an assistant principal of a middle school. The next year, she returned to Florida to assume the principalship of Cedar Key High School where she is currently employed. She is a member of the Women's Caucus of the American Association of School Administrators, the Florida Association of School Administrators, and Florida Staff Developers. She is married to Harold Paul Bridges and has three children. Her permanent address is 910 Andrews Circle, Cedar Key, Florida.

I certify that I have read this study and that in my opinion it conforms to acceptable standards of scholarly presentation and is fully adequate, in scope and quality, as a dissertation for the degree of Doctor of Philosophy.

Forrest W. Parkay, Chairman
Professor of Educational
Leadership

I certify that I have read this study and that in my opinion it conforms to acceptable standards of scholarly presentation and is fully adequate, in scope and quality, as a dissertation for the degree of Doctor of Philosophy.

Phillip A. Clark
Professor of Educational
Leadership

I certify that I have read this study and that in my opinion it conforms to acceptable standards of scholarly presentation and is fully adequate, in scope and quality, as a dissertation for the degree of Doctor of Philosophy.

Joan L. Curcio
Assistant Professor of Educational
Leadership

I certify that I have read this study and that in my opinion it conforms to acceptable standards of scholarly presentation and is fully adequate, in scope and quality, as a dissertation for the degree of Doctor of Philosophy.

Dorene D. Ross
Associate Professor of Instruction
and Curriculum

This dissertation was submitted to the Graduate Faculty of the College of Education and to the Graduate School and was accepted as partial fulfillment of the requirements for the degree of Doctor of Philosophy.

May, 1990

David C Smith
Dean, College of Education

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Dean, Graduate School